DOCUMENT RESUME

ED 457 601 EA 031 435

AUTHOR	Daresh, John C.
TITLE	What It Means To Be a Principal: Your Guide to Leadership.
ISBN	ISBN-0-7619-2157-5
PUB DATE	2002-00-00
NOTE	201p.
AVAILABLE FROM	Corwin Press, Inc., 2455 Teller Rd., Thousand Oaks, CA 91320-2218 (paperback: ISBN-0-7619-2156-7, $29.95; hardcover: ISBN-0-7619-2157-5, $65.95). Tel: 805-499-9734; Fax: 800-4-1-SCHOOL (Toll Free); e-mail: order@corwinpress.com; Web site: http://www.corwinpress.com.
PUB TYPE	Books (010) -- Guides - Non-Classroom (055)
EDRS PRICE	EDRS Price MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Administrator Attitudes; Administrator Characteristics; Administrator Education; Administrator Qualifications; *Administrator Role; Educational Administration; Elementary Secondary Education; Leadership Qualities; *Leadership Responsibility; *Leadership Training; *Principals; Superintendents

ABSTRACT

This book introduces the new principal or potential principal to an awareness of how the leadership role of that position is different from that of the teacher. Each of the 12 chapters begins with an incident in the life of a typical first-year principal as a way to discuss leadership concerns. The book closely examines the history of the perception of the principal's role, but only as a way to help the reader form his or her own view of leadership. "Personal Philosophies to Guide Action" helps to clarify the assumptions and values behind a principal's educational platform. The third and fourth chapters consider the "Building Level Administrators" and the role of "Superintendent and Central Office Administrators." In "Differing Views of Administration" and in "Visions of Leadership," the changing interpretations of these concepts allow the reader to select and adhere to a discernible managerial philosophy on a consistent basis. "What It Means To Be in Charge" examines the use of power and authority. "Conflict as Part of the Job" emphasizes reducing the emotional level of people involved in the inevitable conflicts. "Who Runs the Schools" ponders the role of teachers, teachers' organizations, parents, community members, and boards of education. "Frustrations of Leadership" offers ways to deal with the negative side of leadership. Finally, "Keeping the Journey Alive" reminds the reader of the need to find personal connections with other leaders and to pursue professional development. (Contains 88 references.) (RKJ)

Reproductions supplied by EDRS are the best that can be made
from the original document.

WHAT IT MEANS TO BE A PRINCIPAL

Your Guide to Leadership

ED 457 601

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
☑ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

PERMISSION TO REPRODUCE AND DISSEMINATE THIS MATERIAL IN MICROFICHE ONLY HAS BEEN GRANTED BY
G. Alkema
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
2B

EA031435

John C. Daresh

BEST COPY AVAILABLE

WHAT IT MEANS TO BE A PRINCIPAL

WHAT IT MEANS TO BE A PRINCIPAL

Your Guide to Leadership

John C. Daresh

CORWIN PRESS, INC.
A Sage Publications Company
Thousand Oaks, California

Copyright ©2002 by Corwin Press, Inc.

All rights reserved. When forms and sample documents are included, their use is authorized only by educators, local school sites, and/or noncommercial entities who have purchased the book. Except for that usage, no part of this book may be reproduced or utilized in any form or by any means, electronic or mechanical, including photocopying, recording, or by any information storage and retrieval system, without permission in writing from the publisher.

For information:

Corwin Press, Inc.
A Sage Publications Company
2455 Teller Road
Thousand Oaks, California 91320
E-mail: order@corwinpress.com

Sage Publications Ltd.
6 Bonhill Street
London EC2A 4PU
United Kingdom

Sage Publications India Pvt. Ltd.
M-32 Market
Greater Kailash I
New Delhi 110 048 India

"Deming's 14 Points" and "7 Deadly Diseases of Organizations" from W. Edwards Deming, *Out of the Crisis* (1993). Reprinted by permission of the MIT Press.

Printed in the United States of America

Library of Congress Cataloging-in-Publication Data

Daresh, John C.
What it means to be a principal: Your guide to leadership / by John C. Daresh.
p. cm.
Includes bibliographical references.
ISBN 0-7619-2156-7 (c) — ISBN 0-7619-2157-5 (p)
1. School principals—Vocational guidance—United States. 2. School administrators—Vocational guidance—United States. 3. Educational leadership—United States. I. Title.
LB2831.92 .D39 2002
371.2'012—dc21 2001001013

This book is printed on acid-free paper.

02 03 04 05 06 07 7 6 5 4 3 2 1

Acquiring Editor:	Robb Clouse
Corwin Editorial Assistant:	Kylee Liegl
Production Editor:	Diane S. Foster
Editorial Assistant:	Kathryn Journey
Typesetter/Designer:	Denyse Dunn
Indexer:	Molly Hall
Cover Designer:	Michelle Lee/Michael Dubowe

Contents

	Preface	vii
	Acknowledgments	ix
	About the Author	x
1.	Introduction to the Journey	1
	What Do Beginning Principals Need?	2
	Do Beginning Principals Feel Ready to Lead?	3
	Beginning Principals' Critical Skills	7
	The Current Field of Administration	9
	Another Perspective	12
	Summary	14
	Suggested Activities	16
2.	Personal Philosophies to Guide Action	17
	The Value of Clarifying Personal Assumptions	19
	Developing a Personal Educational Philosophy	19
	Individual Action Planning	21
	Reflective Practice and the Action Plan	32
	Summary	34
	Suggested Activities	34
3.	Building-Level Administrators	36
	Building-Level Administrative Jobs	38
	Summary	53
	Suggested Activities	53
	Additional Reading	54
4.	Superintendents and Central Office Administrators	55
	Central Office Administrators	56
	Superintendents	59
	Summary	72
	Suggested Activities	73
	Additional Reading	73
5.	Differing Views of Administration	75
	Alternative Historical Perspectives	76
	Current Perspectives	84
	Summary	91
	Suggested Activities	92
	Additional Readings	92
6.	Visions of Leadership	93

Alternative Definitions 94
Descriptive Versus Normative Views 96
Historical Development of Leadership 96
Emerging Leadership Perspectives 107
General Comments About Leadership 111
Summary 112
Suggested Activities 113
Additional Readings 114

7. What It Means to Be in Charge 115
Alternative Definitions 116
Characteristics of Power 118
Compliance Theory 120
Characteristics of Authority 121
Implications for Someone Becoming an Administrator 122
Summary 123
Suggested Activities 123

8. Conflict as Part of the Job 124
What Is Conflict? 125
Sources and Types of Conflict 127
Conflict-Handling Styles 132
Summary 134
Suggested Activities 135
Additional Readings 135

9. Who Runs the Schools? 136
Teachers' Groups 137
Parents and Community Groups 140
School Boards 144
Summary 149
Suggested Activities 149
Additional Readings 150

10. Frustrations of Leadership 151
Major Challenges 152
Frustrations of Principals 153
Summary 164
Suggested Activities 164
Additional Readings 164

11. Keeping the Journey Alive 166
Principal Professional Development 167
Administrator Inservice 167
Personal Learning 171
Summary 175
Suggested Activities 175
Additional Readings 176

References 177

Index 183

Preface

You are reading this book because you have an interest in pursuing a career as a most important educator. As the research over recent years has shown, the school principal is one of the most important ingredients of a successful school—a school where children learn. The purpose of this book is to help you make an important decision about whether or not you really want to take the step toward becoming such a critical part of effective education by serving as a principal.

Becoming a principal involves more than merely applying for a job and then getting word that you have been selected by a local school board to run one of their schools. It really means taking a long voyage toward becoming as effective a leader as you can become. After you receive word that a school district has offered you a job, you have to make an important commitment to lead a school so that everyone in it can learn and grow. And that means that you must be personally committed to those same goals and objectives. This book is dedicated to helping you to not only take a job but, more important, to commit yourself to service in one of the most important jobs that exists in the field of education.

You will find in this book some of the most critical issues you are likely to face as a principal. You will need to think about your personal values, exactly what types of jobs in educational administration appeal to you, and how you will personally define such major issues as administration and leadership. You will also be challenged to think about how it will feel to be designated as the person who has legal and formal authority and control of a school and how you will deal with the inevitability of conflict as part of your life. Finally, you will be expected to review how you will cope with the fact that as the leader of a public school, you will need to determine how to best serve the needs of a wide variety of actors who regularly seek control.

To assist you on your personal and professional voyage to leadership, you will follow the first year of Ms. Kelly Marshall, a beginning principal. Kelly has recently taken the journey that you are about to undertake. She was a teacher, she completed a graduate degree at a university, and she fulfilled the various requirements of a state department of education to obtain

an administrative license. Now she is in the hot seat of the principalship for the first time. The issues and challenges that she faces in this book will soon be yours.

As you read each chapter, you will asked to respond to a number of questions designed to help you make a personal connection between what you have just read and your own situation. No answers will be provided to you, largely because there is no hiding the fact that whatever your individual plans, pursuing an important job such as the school principalship must be something to which you make a personal commitment. No one can force you to take a journey of this sort, and no one but you can guarantee success.

Good luck and bon voyage!

JOHN C. DARESH

Acknowledgments

I wish to thank all principals and school leaders who continue to carry out their challenging duties with the dignity and integrity that have been the hallmarks of effective schools for so many years. In particular, I give credit to heroes such as Nick Cobos, Jim Kelch, Mitzi Bond, Charlie Vass, Debbie Pattin, Oscar Santaella, and so many other great colleagues who give their time to so many things each day to improve the quality of life and learning throughout the El Paso region.

The contributions of the following reviewers are also gratefully acknowledged.

J. Tim Goddard, Associate Professor
University of Calgary/Faculty of Education
Calgary, Alberta

Ted Zigler, Principal
Wm. Henry Harrison High School
Lawrenceburg, IN

Sue Dutton, Assistant Principal
Cape Henlopen High School
Lewes, DE

Harry M. Hufty, Principal
School District 57
Prince George, British Columbia

About the Author

John C. Daresh is currently Professor in the Department of Educational Leadership and Foundations at the University of Texas at El Paso. He has served as a consultant to school districts, state departments of education, and universities in the design of programs to assist both beginning and experienced principals. In recent years, he has worked with international groups as a consultant, spending time in England, Taiwan, South Africa, Holland, and Israel, among other countries. He has worked as a professional educator for more than 30 years in public schools in Dubuque, Iowa, Chicago, and in universities across the United States. He has also been a frequent contributor to the literature related to the professional development of school principals, including *Beginning the Principalship: A Practical Guide for New School Leaders* and *Leaders Helping Leaders: A Practical Guide to Administrative Mentoring*, also published by Corwin Press.

To Bridget and Stephanie, and all who know
"What It Means to Be a Principal"

The Corwin Press logo—a raven striding across an open book—represents the happy union of courage and learning. We are a professional-level publisher of books and journals for K–12 educators, and we are committed to creating and providing resources that embody these qualities. Corwin's motto is "Success for All Learners."

1

Introduction to the Journey

Kelly Marshall spent 12 years as an elementary schoolteacher in a suburban school district in the Midwest. Last week, she began a journey related to but still different from all the earlier journeys of her life. On Monday, August 17, she opened the front door of Woodland Elementary School, an old but well-kept building in an industrial community not far from where she lived and worked for so many years, and stepped in as the new principal. The day marked the end of a lot of hard work for a bright, energetic, and very thoughtful person who spent many hours away from home, family, and friends while taking courses and pursuing the graduate degrees and state certificates that permitted her to look for administrative jobs. She realized that despite all that she had gone through over the past several years, her arrival at Woodland and walking into her office—*the principal's office—was the moment when her life would change drastically. Her journey, however, was truly only beginning.*

* * *

The purpose of the book you are about to read is to provide you with an introduction to a new professional role, that of school administrator. It is assumed that in looking over this brief scenario about Kelly Marshall, you found a lot in her background that is similar to your own. You might not have as many years of teaching experience, and you may or may not have already completed the graduate courses needed for a state certificate or license to be a principal. But in all probability, you have been a teacher for a while, you have some experience with graduate school (even if you are now enrolled in your first course beyond a bachelor's degree), and you have a personal life. Like Kelly, you may be handed the keys to a school building and be told that

you are now the principal, the leader—*the boss—the person in charge. At that point, you will be taking off in a very new direction in your professional life.*

My goal throughout this book is to provide you with insights into what you are likely to experience as you embark on your own journey in educational leadership. Other courses that you are likely to take will focus on the kinds of knowledge and skills needed to be an effective and competent administrator. As a result, you will acquire knowledge about legal issues, finance, personnel management, budgeting, curriculum, and physical plant management. You are already aware that school administrators need to know about these topics if they are to survive. It is also critical that you get a sense of what it *feels like* when you are placed for the first time in the hot seat of administration. This statement is not based on pure speculation or unsubstantiated theory: It is a research-based fact. One of the most critical needs confronted by a beginning school administrator is knowing how the title is likely to change the person. Of course, it is important to know *how* to do many things associated with administration. But for beginning school principals, that is not always enough.

What Do Beginning Principals Need?

People have served as administrators of schools for more than 100 years in the United States. Ever since the mid-19th century, when an increasing number of U.S. schools shifted away from the common school (one-room schoolhouse) model, in which one teacher offered all instruction across all grades to all pupils, many realized that managing schools was an increasingly complex and demanding job. Until the beginning of the 20th century, however, schools had staff members serving primarily as teachers, and one person received some form of release time or other compensation to serve as a part-time building manager or administrator. After all, it was important for someone to attend to the business of paying for supplies, paying the other teachers, greeting parents and other visitors to the school, maintaining the physical plant of the school, and so on. Although these duties were time-consuming and varied, they were still not so complex as to prevent an individual from also teaching at least part of the time. Still, these teacher-administrators took on a special role and title, namely *principal teacher.*

In the United States, as the 20th century progressed and the nation moved rapidly from an agrarian to a more urban and industrial society, schools changed rapidly as well. Perhaps the biggest structural change was that schools became bigger, with more students and more staff. Curricula became more inclusive of subjects that went well beyond the three R's of the 19th century. Society changed and became significantly more complex than it had been in the past. The consequence of this shift from smaller schools—in

which all adults served primarily as teachers—to larger, more impersonal (and "efficient") organizations was that providing for all the managerial duties was no longer possible on a part-time basis. As schools in the United States moved further into the 20th century, the concept of identifying a principal teacher to run individual schools was modified. The *principal* was no longer a *teacher.* The role of the school administrator, particularly the principal, has changed dramatically in a way that makes it markedly different from what people experienced earlier in their careers as classroom teachers.

As the role of the school principal began to emerge as something apart from traditional visions of what teachers did, it became increasingly important to provide individuals with the kinds of management necessary to serve in new roles in schools. In the past, those who became principal teachers did so largely because they had been recognized as effective teachers. As they moved into managerial positions, they simply picked up along the way whatever skills were needed to do their jobs. Often, new principal teachers learned their duties simply by watching what their more experienced colleagues did and then trying to do the same things. When the role of the principal was first being identified, this approach to management training and preparation was reasonably effective.

As schools and school districts grew in size and complexity and as the role of the *educational administrator* became more and more of a stand-alone position, programs designed to prepare people for their new duties began to appear across the United States. For the most part, these programs tended to focus primarily on training individuals to step into management roles in schools. A whole new field of academic study—educational administration—was launched and became a part of the curriculum in universities across the nation. Now, more than 500 institutions of higher education provide post-baccalaureate programs designed to certify individuals for principalships and other administrative posts in schools. Whether or not those programs are truly effective in preparing people for their important duties is a matter open to further discussion and analysis.

Do Beginning Principals Feel Ready to Lead?

One of the bases that might be used to determine the effectiveness of preparation programs is the extent to which people first entering the field of school administration express the sense that they are ready to be administrators. What are the kinds of problems, frustrations, and issues faced by newcomers to the principalship? In recent years, more and more attention has been directed toward that issue by researchers not only in this country but across the world as well.

In the space below, list the issues you believe you must address as a school principal but in which you believe you lack experience or expertise.

Research on beginning school administrators has been carried out in the United States, the United Kingdom, Holland, Australia, Canada, Singapore, South Africa, and several other countries. Although there are some differences in the research due to the diversity of cultures, educational practices, and traditions in all these settings, the overall findings have been remarkably similar. One of the common findings is that administrators' first years on the job are best characterized as time filled with frustration, anxiety, and self-doubt. The principalship (and administration of schools in general) represents a paradox: It is a job defined largely by constant interaction with people, but it is a lonely job as well.

A comprehensive study conducted by Dick Weindling and Peter Earley (1987), a pair of British researchers, reviewed the characteristics of the first years of secondary school head teachers (principals) in England, Scotland, and Wales. They surveyed and interviewed beginners, their teaching staffs, and their managerial superiors about what frustrated the newly appointed heads in their new positions. Among the many recommendations that came from this study was that new head teachers need to receive special attention and support from their local school districts. Weindling and Earley also noted that a major problem for head teachers is isolation, which tends to be felt strongly by novice administrators.

Basically, findings of studies looking at the critical problems faced by beginners have shown that people new to school administrative jobs experience problems in three areas:

1. Technical skills. *What* do I need to know how to do, now that I am an administrator?
2. Socialization skills. *How* am I supposed to look and act? How will my behavior affect staff, parents, students, and others?
3. Self-awareness skills. *Who* am I? *What* do I think? *What* do I believe? *What* do others see and hear when they see and listen to me?

The assumption might be made—particularly in terms of professional development at the preservice and induction levels—that effective programs must be directed toward helping people learn technical skills associated with their chosen profession. People also need to know how to fit in (socialization skills) and, most important, how they will be transformed personally in their roles. Although all three of these areas are quite important and must be recognized as critical problems faced by school leaders, particularly at the outset of their careers, the area identified as most important is self-awareness (Daresh & Playko, 1993).

Technical Skills

Research related to the needs of rookie principals clearly implies that although there is a strong and persistent need for newcomers to receive training and support related to the technical aspects of their new jobs, other issues might also be addressed with equal vigor. As a future school administrator, you will need to know about sound financial and budgetary management, effective school-community relations, staff evaluation and supervision, applicable law, and many other issues that are the core curriculum of most educational administration programs.

As you consider the issues that you believe you will face as a beginning school administrator, what, if any, of these may be described as related to needing technical skills?

Socialization Skills

In addition, when you step into your first administrative assignment, you will need skills associated with effective socialization into your new profession. Research on problems faced by novice principals shows that a consistent dilemma faced by first-year principals is how to fit into new environments and social systems (Daresh, 1986). In response to this, administrator preparation typically includes some form of internship, planned field experience, or other type of practicum to ensure that aspiring principals, assistant

principals, superintendents, and others are provided with some exposure to the daily feeling of administrative life.

What issues that concern you about your role as an administrator might be classified as part of socialization?

Self-Awareness Skills

Finally, there is a need for preparation programs to provide newcomers with a structured way to come to grips with their new professional identities as principals and the like. They need to learn how it will feel to be viewed as the boss, the prime decision maker, the person in charge, or a whole range of other roles assigned to a leader as a result of changes in self-perceptions and the perceptions of others in an organization. This is not a trivial matter. Analyses of the critical skills needed by beginning principals have found that the single most important aspect of effective initial performance is an individual's ability to demonstrate clear awareness of how he or she is adjusting to the role. In other words, "knowing oneself" is viewed as an even more critical responsibility than knowing how to do the job or fitting in.

Specifically, self-awareness involves three major skills:

1. Developing a personal response to matters calling for ethical concern
2. Recognizing the moment of transfer from one professional (or personal) self-identity to another new role or identity
3. Appreciating that one's personal identity has been coded differently in the eyes of others

What are some self-awareness issues that you believe you are likely to face when you become a school administrator?

In reviewing the critical skills needed for successful performance by school principals (i.e., the need for technical skills, socialization skills, and above all, self-awareness skills), the question naturally arises about whether or not some things can be learned from how other professionals view these competing preparation demands and perspectives.

Beginning Principals' Critical Skills

It might be interesting for you to discover how you feel about the kinds of skills needed by beginning school administrators. You might want to complete and score the Beginning Principals' Critical Skills Survey (Figure 1.1) before proceeding with the rest of this chapter.

If your highest scores are among the first eight items on the survey, then you believe that the most important things for you to master as a beginning principal are the technical skills associated with the job. Research shows that you are in agreement with most other individuals who have taken this survey while they were enrolled in preservice programs to prepare them to become administrators. However, you are not in line with what experienced principals and superintendents believe are the most important skills to be mastered. Principals who have been on the job for 3 or more years rated the eight middle items (which address socialization skills) as the most important, and superintendents believe that the last eight items (which address self-awareness skills) are the most critical items for beginning principals. Both principals and superintendents rated technical skills as the least critical issues.

These discrepancies suggest that those who have spent some time working as practicing school administrators realize that the journey toward leadership involves good management, appreciating personal values, and getting along with other people.

In the space below, indicate your rank ordering of critical skills as elicited by the Beginning Principal's Critical Skills Survey.

Figure 1.1 Beginning Principal's Critical Skills Survey

DIRECTIONS: For each of the items below, please assess how important you believe each item is for a beginning principal to carry out in order to be successful. Please use the following scale in making your assessment.

5 = Extremely Critical
4 = Critical
3 = Somewhat Important
2 = Not Critical
1 = Irrelevant

Item	Rating
1. Evaluating staff	5 4 3 2 1
2. Facilitating/conducting group meetings	5 4 3 2 1
3. Designing and implementing a data-based improvement process	5 4 3 2 1
4. Developing and monitoring a building budget	5 4 3 2 1
5. Organizing and conducting parent-teacher conferences	5 4 3 2 1
6. Establishing a schedule for students and staff	5 4 3 2 1
7. Being aware of issues related to school law	5 4 3 2 1
8. Managing food service, custodial, and office staff	5 4 3 2 1
9. Establishing a positive relationship with other administrators.	5 4 3 2 1
10. Determining who is what in a school/district	5 4 3 2 1
11. Relating effectively to board members and central office personnel	5 4 3 2 1
12. Balancing district professional values and personal values	5 4 3 2 1
13. Understanding the principalship as it affects personal lives	5 4 3 2 1
14. Developing interpersonal networking skills.	5 4 3 2 1
15. Encouraging involvement by all parties in the educational system	5 4 3 2 1
16. Developing positive relationships with other organizations	5 4 3 2 1
17. Demonstrating awareness of possessing organizational power and control	5 4 3 2 1

18. Demonstrating awareness of why one was selected for a leadership role in the first place	5 4 3 2 1
19. Portraying a sense of self-confidence on the job	5 4 3 2 1
20. Having a vision along with an understanding of what is needed to achieve organizational goals	5 4 3 2 1
21. Demonstrating a desire to make a significant difference in the lives of students	5 4 3 2 1
22. Being aware of one's biases, strengths, and weaknesses	5 4 3 2 1
23. Understanding and seeing that change is ongoing, and that it results in a continually changing vision of the principalship	5 4 3 2 1
24. Assessing job responsibilities in terms of the "real role" of the principalship	5 4 3 2 1

The Current Field of Administration

As educational administration has become more widely recognized as a field needing specialized training, you might expect that preparation programs would address the need for future school leaders to acquire equal amounts of training in technical skills, socialization skills, and self-awareness skills. However, most current approaches to educational administration training still emphasize the acquisition of technical skills as the best preparation for these jobs. As a result, "becoming an educational leader" is most often equated with gaining an appreciation of financial management, the legal aspects of education, supervising and evaluating teachers, budgeting, pupil and staff personnel management, taking care of the physical plant and school grounds, and similar activities. Defining the nature of school leadership almost exclusively as the accomplishment of these tasks also has a long tradition in the literature of our field.

An early example of an individual who produced text materials that helped introduce one to the world of school administration was Ellwood P. Cubberly, who served as a professor of education at Stanford University for many years. His writings have been extremely influential in defining how universities have envisioned what school principals and superintendents do and what they need to know if they are to be successful in their jobs. In 1916, Cubberly produced one of the earliest formal textbooks in the field of educational administration, *Public School Administration*. Among the topics covered in that book are many of the same things that we will examine later in this book, such as the nature of state and local school governance and what

building-level administrators and superintendents are supposed to do. The major focus of the work of Cubberly—and most of the other authors who have written material to introduce students to the field of school administration over this 20th century—has been on the managerial duties of administrators, as if that vision defined the entire world of administration. Cubberly, for example, noted that the major duties of school superintendents centered on such matters as how to maintain balanced budgets, keep accurate student records, report school issues to the public, and oversee the maintenance of buildings and grounds. Other authors who followed Cubberly continued their presentation of school administration exclusively in terms of "how to" carry out certain functional responsibilities of management. Paul Jacobson and William Reavis in 1941 presented a similar image of the work of administrators in their text *Duties of School Principals* (pp. 13-14). As part of their presentation, they noted that principals are individuals who carry out the following mandatory and discretionary duties:

Mandatory ministerial duties. Duties required of the principal not only as to performance but also as to how and when performed:

- Be present in the building between specified hours
- Keep certain records and accounts
- Receive delivered supplies
- Check school census
- Inventory equipment, books, and supplies
- Check payroll list
- Report injuries to pupils and employees
- Fly the American flag

Discretionary ministerial duties. Duties that are discretionary only as to how the required end is achieved:

- Conduct fire drills
- Supervise janitors
- Report needed building and equipment repairs
- Supervise the building at recess and noon hour
- Notify parents of unsatisfactory work of pupils
- Regulate, permit, or refuse entrance to visitors
- Regulate, permit, or prohibit advertising or exhibits in the school building
- Requisition and dispense supplies and equipment

Discretionary powers. Powers that the principal may use individual judgment on as to how, when, and sometimes whether a certain matter must be done.

Principals vary in the amount such discretion is provided by local control and dictate:

- Classify pupils
- Keep personnel records of teachers
- Keep personnel records of pupils
- Assign teachers
- Make curriculum schedules
- Conduct teachers' meetings
- Allocate funds made available for the building, according to budget
- Obtain substitutes for teachers who are absent
- Evaluate teachers' efficiency
- Supervise instruction
- Cooperate with juvenile court and other law enforcement agencies
- Regulate or abolish activities of teachers and pupils in buildings
- Handle complaints of patrons
- Discipline pupils

The popular view of what it meant to be a school administrator throughout most of the history of this field has been one of "getting the job done." Traditionally, an introduction to the field of school administration has been to orient people to the kinds of tasks that are expected to be done by professional managers such as principals and superintendents. Over the years, we have adopted the notion of trying to explain school administration in terms of task areas of administration, which normally include the following:

- Financial management
- Staff personnel management
- Physical plant and facilities oversight
- Pupil personnel management
- Maintenance of school-community relations
- Supervision of curriculum and instruction

In general, defining administration in terms of these types of tasks is consistent with a long-standing definition of educational administration referred to as *scientific management*, a concept that we shall explore in greater detail in Chapter 5. My purpose here is not to downplay the importance of having school administrators develop competence in areas such as finance, fixing the building, personnel evaluation, and dealing with the public. On the other hand, you have a very incomplete picture if you think that because you are able to balance a budget sheet and repair the roof of the schoolhouse and you are comfortable with doing those kinds of things, you know what you

are getting into as a principal or superintendent. As you may recall, the research noted earlier on the needs of beginning principals makes it clear that although performing in a technically competent fashion is important, other aspects of becoming a leader need to be addressed. Most traditional programs designed to train or prepare people to become school administrators do little more than concentrate on the development of technical skills. The focus in this book will be on helping you to understand how doing those sorts of things must fit into your personal value framework and understanding of education.

Since the 1950s, people have recognized that the preparation of a successful educational administrator must be based on more than just how to do certain managerial tasks. Over the last 40 or more years, these people have been influenced by what is often termed the Theory Movement in Educational Administration (Culbertson, 1995), in which the emphasis is on the development of conceptual skills rather than on training in management practice. Conceptual frameworks have been borrowed from an array of social sciences, including sociology and psychology, as a way to explain how school administrators must be made aware of insights and skills well beyond what it takes to discipline a student, hire a teacher, or find ways to finance a particular program. The books *Administrative Theory in Education*, edited by Andrew Halpin (1958), and *Educational Administration as a Social Process*, by Jacob Getzels, James Lipham, and Roald Campbell (1968), have served for many years as influential and visible statements of the belief that the world of administration is not simply about "doing things" but, more important, about being able to "understand and explain" things that happen in the daily lives of schools. Discussions of administrative task areas are generally replaced by discussions of decision theory; the nature of conflict, authority, and power; and the organizational structure of complex organizations. Again, my goal is certainly not to discount the importance of understanding administration and administrative behavior from a theoretical perspective. On the other hand, appreciating the world of administration solely through the lens of the analyst does not tell the entire story of what your life is likely to be after you first step into the principal's office. Is there room for learning about the conceptual bases of administrative practice? Yes, but there is still more to the puzzle that must be learned and understood at the outset of your personal journey.

Another Perspective

To this point, we have considered very briefly two visions of educational administration that have been quite popular throughout the history of our field. The first perspective suggested that administration is defined largely

as the business of keeping organizations headed in the right direction by making certain that operational details were addressed: bills are paid, people are evaluated, and so on. The second perspective indicated that being an administrator involves being able to appreciate the way things work in an organization so that it might be possible to intervene when necessary. Administration from a theoretical perspective would hold that knowledge about human motivation theory and research is an indispensable part of administration, because administrators need to know how to motivate people if organizations are ever to be effective.

As you read this first chapter, you may start to wonder if my goal is to convince you that all former approaches to explaining the complex issues associated with managing schools are somehow wrong and that we ought to erase all past descriptions of how to administer schools. That belief would be incorrect. The important assumption I am making is that the administration of schools is a complex task. It is an extremely demanding and challenging task to oversee all the issues that must be addressed to keep schools operating smoothly so that children can learn effectively.

My major goal in this book is to lead you through the process of exploring a field of practice, namely school administration—in light of your own personal values, beliefs, and views. Simply stated, becoming a school administrator is something that will make great demands on your time and talents, and it will change many patterns of your life. If you are now a classroom teacher, you will build on the things that you now do in your work. Becoming a principal or superintendent is going to make new demands on you and change your life. If you walk into that new role with its new expectations without appreciating the nature of how you might be changed, it is likely that your journey into a new career will be unhappy and you will be unsuccessful in what you are doing. Again, we return to the findings of the research related to beginning administrators, which has shown that self-awareness in a new job is the single most important ability needed by the effective school leader.

My consistent theme is to help you to assess your personal commitment to the demands of the job of a school administrator. To grasp what those demands are likely to be, we will explore three major components of the role of school manager.

First, we will explore the nature of what administrators do. Ideally, this review will assist you in developing a clear, personalized image of what administration is as a job.

Second, we will explore the nature of leadership. This topic is the focus of a great deal of popular analysis, both in terms of educational leadership and what constitutes leadership in a variety of organizations. We will explore some historical images of leadership as well as some of the current thinking in this area. A major focus of this review will be on the conceptual and practical

differences that may exist between *leadership* as an activity and *administration* or management. Are there distinctions between these terms, and if so, how are they likely to affect your life?

Finally, we will examine another important concept in the world of the school administrator, namely formal governance structures. This deals with the way schools and school districts are supposed to be established, according to law. We will look at such issues as the federal government's involvement in educational practice, what roles the states play in education in this country, and what is meant by the concept of local control. All of these issues must be understood by the aspiring and beginning administrator, because the governance structure of education defines what leaders must do in a formal sense.

Figure 1.2 is a pictorial representation of how the material in this text will be presented. Three circles of equal size represent the concepts of administration, leadership, and governance. Although these concepts are separate, there are elements of each that overlap with the other circles. For example, leaders must be effective administrators, and the formal governance structure of education defines the job of administrators in a legal sense. But as we proceed through the book, it should become increasingly evident that there are also differences between the three major areas of focus. At the center of the diagram is a smaller but most important point: Self. This is meant to indicate you as the person thinking about moving into a new professional role. As the center of this diagram, it is important that an ongoing assessment take place of your personal views, values, and talents as they may relate to the circles.

The journey will begin with some insights into how you might systematically analyze who you are as a professional educator. This material is critical at the outset, because as each chapter unfolds, you will be asked to reflect on issues associated with educational administration and consider whether dealing with these issues is consistent with who you are, your beliefs, and who you wish to become as a professional.

Summary

In this chapter, I presented the basic rationale for this book. To introduce this rationale, I offered information about research on beginning school administrators and how it has shown that although technical and socialization skills are important, the key to effectiveness is the extent to which a beginner has a strong sense of personal values and self-awareness in relation to a new job. To complete that overview, I noted that the world of school administration has been presented in the past through perspectives that

Figure 1.2

include a review of individual administrative task areas and theoretical domains borrowed from other social sciences. I demonstrated that although these former views may have some limitations, they cannot be ignored by those interested in pursuing fields in administration, because they offer important insights into the nature of this field. However, I also noted that the primary goal of this book is not simply to review theories or administrative tasks but to assist you through a personal process of assessing the nature of a new job in light of your own sense of who you are and what you believe as an educator.

Suggested Activities

1. Reread the introductory material, which provides a brief summary of the professional life of Kelly Marshall, a new principal. We will continue to visit this administrator throughout the remaining chapters of this book as she encounters many important issues in the fields of administration, leadership, and governance. As a beginning activity, prepare a two-page summary of high points in your personal and professional life as a type of introduction that you might share with others.

2. Make copies of the Beginning Principal's Critical Skills Survey (Figure 1.1) and distribute this survey to either beginning or experienced principals. Score the survey and compare your findings with those explained in this chapter. Are they similar or dissimilar? If your findings are different from the research noted here, how might you account for that fact?

3. Interview two or three experienced school principals or superintendents and determine whether or not they believe that the job they now do is consistent with the job they believed they were going to do when they took their first administrative position.

2

Personal Philosophies to Guide Action

Kelly Marshall has quickly learned that the principalship is a job defined largely by the demands and expectations of a huge number of people each day. *Teachers* want decisions to be made immediately about many different things such as where to get supplies, how to deal with student discipline issues, whether it is OK to leave school early for a dental appointment, and on and on. *Classified staff* also wants the principal's attention and wants direction for dozens if not hundreds of issues that seem to arise. The *central office* wants answers, often immediately, to questions that seem to pour out constantly. *Parents* demand attention from the principal for everything from why their child is in a particular teacher's class to whether or not it will be possible to sponsor more field trips this year or why their son or daughter was disciplined in Ms. Smith's class last week. *Community groups* want an answer to why they are not able to use the school gym for a neighborhood meeting next week or why the school librarian persists in keeping *Huckleberry Finn* on the shelf. Somewhere on the list of groups and individuals seeking the undivided attention of the principal are the *students*, who also come to mind now and then. All the courses and books that Kelly read in graduate school did not really address this critical issue of decision making: what to do, when to do it, for whom one should do what, and whether or not it should be done in the first place!

* * *

This brief scenario, taken from the life of our first-year principal, is a glimpse at one of the ongoing dilemmas faced by everyone who becomes an administrator in any kind of organization. The leader is often expected to please everyone, make decisions that offend no one, and provide solutions to everyone's problems, even when it is impossible to do all these things. At the same time, the new administrator also has a personal agenda and vision of what he or she is trying to accomplish as the leader. After all, the people who hired Ms. Marshall (and others like her) had believed that she would make a difference when they handed her the keys to a school and put her in control of the lives of several hundred students and dozens of teachers and classified staff. Now, many times, the new principal feels like the Pushmi-pullyu animal in Dr. Dolittle's stories: On the one hand, she must be a change agent; on the other hand, she dares not tamper with the status quo. Where was a course in tightrope walking when she went through her principal certification program at the university?

The constant struggle between a leader's values and beliefs and the values and beliefs of others in an organization is an ongoing issue faced by administrators. When principals go out of their way to ensure that one group of teachers has a special privilege or opportunity, it is likely that another group of teachers in the same school may read that behavior as favoritism and find fault with the principal. Or if that same principal tries desperately to follow a safe path and show no favoritism to any teacher, he or she will almost certainly be criticized for being insensitive and unyielding to individual needs and concerns. The tightrope is a very easy place from which to fall! No matter how hard a leader tries to please everyone, someone will always be displeased: "You can't make everyone happy."

Does this mean that part of the reality of administration must be either paralysis of action and decision because one is fearful of offending anyone or constant controversy because one makes unpopular decisions? No. It does not have to be either alternative. But it does point to another critical reality of the career you have selected to follow. Not only can you never please everyone, but absolutely correct decisions and courses of action do not exist. As an administrator, your job is to make decisions and promote actions based on the most complete and accurate information available to you.

In the long run, the only real answer to the question of how to find the right action or make the right decision must come from within you. The purpose of this chapter is to suggest that one of the very few consistent truths of becoming an effective leader is that you must operate from a personal sense of understanding. What you believe to be a correct course of action will likely be the most successful approach to providing fair and consistent feedback to those with whom you work. As a result, being sure of your own value system is a critical dimension in making a successful transition into the world of administration.

The Value of Clarifying Personal Assumptions

Chapter 1 noted that one of the most important skills to be possessed by the beginning administrator is an ability to develop a strong sense of self-awareness. Individuals who achieve success as principals review and consider many different perspectives about the world of administration, but they ultimately settle on one point of view and remain true to it. Such adherence to a particular perspective is encouraged, even if your stance reflects an approach that may not be particularly popular at any single time. Of course, like most people, you will probably change or at least modify your position from time to time, depending on an array of reasons. However, your authenticity and your clarity in espousing a particular administrative philosophy is of critical value in gaining the types of personal insights that will increase self-awareness and lead to a more effective start as a school administrator.

Self-awareness is built in large measure on your ability to analyze your own personal beliefs and values as components of a clear philosophy of education. The school administrator, particularly at the beginning of a career, who is unable to articulate basic thoughts concerning professional issues will find successful leadership quite difficult. Equally important, without the capacity to reflect on the beliefs that form the basis of a personal, educational philosophy, you will be unable to serve as an effective model of learning to your staff and teachers when you step in as a principal.

Developing a personal educational philosophy requires attention to three areas:

1. Closely examine your own beliefs and values.
2. Fine-tune your ability to solve problems by creating an individual action plan.
3. Prepare a platform, identifying for others your personal views on educational issues.

Each of these plays a valuable role in building effective administrative practice. Next, we examine more closely the importance of knowing one's values and beliefs when developing a personal educational philosophy.

Developing a Personal Educational Philosophy

An important first step in defining a personal philosophy is to review your fundamental *values* and *beliefs*. Taking time to clarify these principles will help you develop a greater self-awareness as an administrator.

Values

The primary component in a general system of values is a belief or a set of beliefs, or what Terrence Deal and Kent Peterson (1999) define as "the conscious expressions of what an organization stands for" (p. 26). They also note that values "define a standard of goodness, quality or excellence that undergirds behavior and decision making, and what people care about." In many ways, values represent our permanent view of reality, formed and fashioned out of our more temporary beliefs and attitudes as well as the beliefs and attitudes of others in our family, neighborhood, or larger societal environment. A person might buy a house in a neighborhood because the school for that community is described as a particularly good one. The house may cost quite a bit more than similar homes, but because quality schooling is a core value, you make sacrifices and pay a higher monthly mortgage.

Awareness of some unique characteristics of individual values can increase our understanding of the concept. Values represent a person's views about ideal modes of conduct. They are generally more permanent than attitudes or beliefs. A hierarchical order exists among our personal values, based on their relative potency, durability, and stability. Values that are more likely to shift over time are lower in the hierarchical order; they are not as personally important to us. Our values are not typically articulated in a direct manner; more often than not, our behavior is the strongest demonstration of them.

Beliefs

Deal and Peterson (1999) note that beliefs are "how we comprehend and deal with the world around us" (p. 26). They are less permanent than values; and instead, beliefs serve as the foundation of larger value systems that guide behavior. We all have hundreds or even thousands of beliefs about a huge number of things, places, people, or ideas. These notions are often short-lived because we find out that they are not correct or because we simply do not find them important enough to grasp for very long. For example, a new principal can walk into a school and believe that the teachers in that school are not very effective, based solely on gossip heard in the district or the complaints voiced by a few parents who dislike the school. That belief can be shed after meeting the teachers, reviewing their personnel files, or talking with parents who do not share the views of other community members. In schools, much of what teachers and others do is based on beliefs. Teachers are often quick to use certain strategies to affect classroom management or discipline because they *believe* students will act in a certain way, given particular conditions. Whether or not the beliefs are supported by fact

or proven by some sort of external validation is not relevant. The fact is that beliefs often drive actions.

Why Values and Beliefs Are Important for Administrators

An important skill for someone who intends to pursue a career in educational administration is recognizing the centrality of one's values and beliefs. This skill is necessary for several reasons. First, if you are aware of values and beliefs and how they affect human behavior, you are likely to become even more appreciative of your own values. Talking about values and beliefs can make us more sensitive to them and to the role they play in shaping our behavior. Thinking about other people's beliefs and values, which may differ from our own, is the first step toward accepting those differences.

Second, administrators must examine the issue of values and beliefs because as educational leaders, they are called on to analyze the values and beliefs of people who work in, around, and with schools. Developing personal competency in interpreting the beliefs and values of the people associated with any organization is a critical skill for a leader; an administrator who is unable to sense those things that people hold dearest to them will almost certainly be an ineffective leader. All people have absolute points beyond which they will not compromise or change. Attempting to push people beyond those limits is a serious blunder. Appreciating the belief and value orientations of others is necessary for perceiving and dealing with those nonnegotiable issues.

Third (and perhaps most directly related to entry into the world of administration), administrators need insight into an array of personal orientations. Administrators represent many people. They represent not only their own personal value and belief systems but also the orientation of the entire school or district. Frequently, people do not think of a neighborhood school as "the elementary school down the street" but rather as "Ms. Jones's school," where Ms. Jones is the principal. The school administrator sets the moral and ethical tone of a school and provides the members of the organization with an implicit sense of "what's right" or "what we do around here."

Individual Action Planning

Each of us has an established set of beliefs that shape our values. The next step is to bring these concepts together into a working personal philosophy to guide your behavior in an administrative role. To do this, translate your beliefs and values into an individual action plan. This plan will influence and improve your ability to engage in effective personal decision making as an educational leader.

Educational Platform Development

The administrator's educational platform, developed by Thomas Sergiovanni and Robert Starratt (1993), is a model designed to help professional educators assess their views about a series of educational issues by stating them in a straightforward manner, akin to the platform statements made by political candidates in an election campaign. The major difference between a politician's and an educator's platform is that the latter is structured to communicate the educator's deepest and truest beliefs, attitudes, and values, even if these are contrary to the sentiments of the public.

There is no single, perfect format for an educational platform. For example, Bruce Barnett (1991) has suggested that a platform may consist of a written statement that articulates educators' viewpoints on issues ranging from desired student outcomes to preferred school climate to expectations for community involvement in schools. Sergiovanni and Starratt's (1993) model for formulating an educational platform includes 10 major elements, each of which deals with a general educational theme. As a result, they can serve as the basis for any platform:

1. The aims of education
2. The major achievements of students this year
3. The social significance of the students' learning
4. The administrator's image of the learner
5. The value of the curriculum
6. The administrator's image of the teacher
7. The preferred kind of pedagogy
8. The primary language of discourse in learning situations
9. The preferred kind of teacher-student relationships
10. The preferred kind of school climate

Another way to think about the content of an individual educational platform is to develop personal responses to the following questions (Daresh, 2001):

1. What is my view of the purpose of schooling?
2. What are the key ingredients of an "adequate" education for all students?
3. What is the appropriate role for students?
4. What is the appropriate role for teachers?
5. What is the appropriate role for parents and other community members?
6. What is my personal definition of *curriculum*?
7. What do I want this school to become?
8. How will I know if students have learned?

9. How do I want others to see me?
10. What are my nonnegotiable values?

The most important thing to note is that there is no absolutely correct way to write a platform. Most people tend to feel more comfortable with following a well-defined outline that includes some of the questions listed above. The following are excerpts from the educat: ›nal platform prepared by a beginning elementary school principal who made use of Sergiovanni and Starratt's framework.

The Aims of Education

> I believe it is the responsibility of education and educators to develop students' self-esteem and self-worth, combating the situations and/or environment when necessary. . . . We must use extra effort to improve students' self-esteem when the home situation or personal environment is abusive, unnurturing, or uncaring; develop students' ability to get along in society. . . ; give all students the opportunity to build a foundation of basic knowledge and develop strategies to enable them to achieve future goals; help students understand the advantages of developing a lifelong learner attitude.

What might you write about this same issue as part of your personal statement?

The Major Achievements of Students This Year

> I believe that a major achievement of a student at any age is to be satisfied with his or her learning accomplishments and yet to strive to do his or her best. As students mature, education must put more emphasis on the process of setting learning goals or life goals and to develop certain attitudes and beliefs toward the learning process. Educators, along with parents and communities, must help students realize the importance of

their educational accomplishments and the importance of feeling good about them.

What would you include in your platform statement if this were an issue that you wanted to address?

The Social Significance of the Students' Learning

I believe that part of what students are expected to learn in the educational setting involves societal behaviors, and there are certain requirements that society dictates. Education is partly responsible for developing productive individuals. . . . I believe we all need to do a better job helping students understand the importance of developing interpersonal relationships with a variety of different personalities. Our . . . existence . . . involves interpersonal relations with various individuals or systems: families, teams, groups, organizations, and governments. These systems are . . . composed of individuals having diverse beliefs and values.

Would you include a similar statement in your platform, and why?

The Administrator's Image of the Learner

Educators perceive the learner in a variety of situations and in a variety of performance modes. Through experience and observation, educators make assumptions of students' visual, auditory, tactile, and kinesthetic learning styles and should help students understand their most preferred learning style. Educators see students as individuals who want to gain knowledge or understanding through study, instruction, and experience. Adjectives that describe the learner are *responsible, enthusiastic, inquisitive, attentive, hardworking* . . . and the opposite of each adjective as well.

What is your image of learners?

The Value of the Curriculum

By articulating the curriculum (the vision, mission statements, proficiencies, outcomes, objectives, etc.), the focus and direction of the school become evident. The curriculum is a means through which educators can reflect on the value or importance of the information taught, make recommendations for adjustments, and be more accountable for the results. The curriculum is also a means to communicate to parents and communities the nature of desired educational goals.

What statement might you make about the curriculum?

The Administrator's Image of the Teacher

Because teachers work with children, I expect teachers to:

- Possess a certain set of high standards and moral values
- Be caring and concerned about the education and welfare of the students
- Be service oriented and have a high sense of achievement
- Have a positive attitude about people, especially children
- Be a dispenser of knowledge and a translator of culture
- Be knowledgeable, enthusiastic, and hardworking
- Be challenging and understanding
- Be a friend, adviser, and counselor
- Be an observer, facilitator, and role model
- Work miracles

What is your image of teachers?

The Preferred Kind of Pedagogy

I am discovering that personality styles and temperaments affect all that we do. I can't state that one teaching style is preferable over another. Different kinds of pedagogy can be effective depending on . . . situations, subject areas, skills to be taught, educator style, and temperament of student groups. The important issue is how educators use

their own temperament to establish and maintain a facilitative relationship with the differing temperaments of the student groups.

How do you prefer to make use of alternative teaching strategies to promote effective student learning?

The Preferred Kind of Teacher-Student Relationships

The interpersonal relationships that occur and the bonds that are formed between teacher and student are very special. We must admit that our children spend a great deal of their time at school. In addition to the time involved in daily academic instruction, we have to consider all the extracurricular activities, practices, and athletic events that contribute to the people becoming involved in such activities to satisfy the need for group belonging and interpersonal relationships. Students often look up to educators with admiration. Educators who give praise and encouragement might be the only positive influence in some students' lives. It is not surprising that strong bonds and relationships are formed.

What do you believe to be some of the characteristics of "proper" teacher-student relationships?

The Preferred Kind of School Climate

Educator attitudes, how staff relate to administration, the amount of collegiality that exists, teacher-student relationships, and school-community relationships affect the school climate. I believe that attitudes might be the key to a positive climate. Students are able to feel the general attitudes of the staff members, which will be filtered to the parents and into the communities. Teachers will produce a more comfortable and safe climate for the students if these attitudes consist of openness, trust, and honesty. Likewise, when community groups are not positive about school issues or staff, this will have an effect on the students and staff and their climate as a whole. Educators need to be continually aware of the relationship between the school and the community and present an open-door policy at all times. Schools need the support of parents and communities and should do what they can to nurture and develop this relationship.

What do you believe the ideal climate for a school ought to be?

Purpose of Administration

I have some administrative colleagues who really believe that administrators should be primarily concerned with finding out what's wrong in a school. They think that administration is a way to engage in a type of quality control process that can help schools in weeding out teachers and other staff who are not doing the job. I disagree with that perspective. Instead, I think that the real purpose of administration should be to identify the strengths that people have and build on those. If people make mistakes and need help, that should also be something that is part of the administrator's job description. Dealing with mistakes can be

done in a way that promotes growth and professional development, not simply finding fault with others' performance.

What do you think school administrators should do to assist schools in achieving their goals?

Another Format for Platforms

Responding to the "ingredients" in the kind of outline provided here is only one approach to the presentation of an educational platform. Another format for organizing a platform has been suggested by Bruce Barnett (1992), who recommends that people try to articulate personal beliefs in the following areas:

1. *Student Outcomes.* What are some critical desired academic and social learning outcomes?

2. *Instructional Climate.* What is the desired physical environment for an effective school? What about interpersonal interactions?

3. *Instructional Organization.* How should instruction be organized and delivered?

4. *Community.* What is your desired level of parental or general community involvement?

5. *Beliefs and Experiences.* What are some of your most important personal values, beliefs, and meaningful past experiences?

6. *Institutional Context.* How should things fit together, along with needed external support from district, state, or even federal sources?

7. *Leadership Behaviors.* What specific actions need to be taken to ensure that the desired outcomes, climate, instructional organization, community involvement, and external support occur?

These elements may be viewed as related parts of a general framework of a personal system. The items are not presented in any particular order. A platform statement can begin with Leadership Behaviors, Community, or any other item listed above.

The Value of Developing a Platform

Preparing and periodically revising an educational platform is valuable for a number of reasons. First, the articulation of a personal educational platform can be a rewarding experience for anyone who is contemplating making a career shift into the field of school administration. This is consistent with a recommendation made by the members of the National Policy Board for Educational Administration (1989), which stated that it is critical for aspiring educational leaders to explore their personal values and attitudes as they consider new career options:

> Students [of educational leadership] must be pushed to examine their own belief systems, their reasons for wanting to be administrators, their images of the mission of schooling as a social process. The curriculum should be designed to provide frameworks and tools to assist students in assessing the moral and ethical implications of administrative decisions in schools. They must come to understand the concept of public trust and to realize how values affect behaviors and outcomes. (p. 9)

Second, writing a formal educational platform requires you to articulate many of the ideals that you may take for granted as you go about your business in a particular role. Highly experienced educators (administrators and nonadministrators) praise the platform-writing process because it is a disciplined way to express beliefs, attitudes, and values that may be easily forgotten over the years as a professional. The platform thus allows you to see and then confront ideas that are rarely stated. It also allows you to make your personal values more visible to others. A well-prepared platform may be a useful tool for sharing important personal feelings with others who need to know your beliefs. In addition, a formal statement can help you gain greater insight into your fundamental and nonnegotiable values.

There is one additional value to preparing a platform statement. Everyone who works in any organization wonders from time to time whether or not to stay in a particular position. Sometimes an organization changes to such an extent that it no longer seems to represent the same values. A formal platform statement is a visible and constant reminder of what an educator holds in greatest esteem. Its real value may be to help you answer the question "What is so important to me that I would quit rather than compromise?"

Reflective Practice and the Action Plan

Articulating an individual educational platform is an extremely powerful activity for reviewing professional and personal values, but it is little more than an academic exercise unless it is combined with an action plan. An action plan need not be a formal statement with a predetermined number of elements as in a platform, but it should list actions that will enable you to look at your present role to determine how personal behavior actually matches both the platform and the characteristics of a job.

Look at some action plans developed as a consequence of doing personal educational platforms. In the first example shown below, an elementary schoolteacher thinking about a career in educational administration takes elements of a personal educational platform and moves toward an action plan to implement the planks of the platform.

> The writing of my platform has been a challenging and valuable undertaking. I feel these beliefs and assumptions, but have never articulated them until now. This has been an affirming exercise, but at the same time, I realize that I am also in the process of becoming. I am not the same person today that I was yesterday. Nor will I be the same person tomorrow that I am today. . . . I know that should I ever step out of the process, I will stop growing as an individual and lose any effectiveness that I might have as a teacher and as an administrator in the future. I found as I placed my thoughts on paper that there was a certain element of interrelatedness among the different themes. In order to achieve one aspect of my platform, I need to build on the others. As a result, I sense the unified direction for myself. It is as though I have developed a focus and that the confusion that accompanies indecision is removed. As a teacher, I know what I'm about and feel that what I do is valuable. Yet, as I began to express my thoughts about administration, I found myself searching for clarity. My experience in personnel, in facilitating both student and adult groups . . . has given me a background of understanding. This is what is directing me to gain a better understanding of the field of educational administration.

After completing this statement of reflection on the main points in her platform, the aspiring administrator then continued by preparing the following personal action plan:

1. Become a more effective classroom teacher by seeking resources that will permit children to reach their greatest potential

2. Encourage and assist in the development of staff within my particular school and within the district by planning and implementing with my principal a specific plan for staff support and supervision
3. Evaluate my growth and needed areas of growth by meeting periodically with my supervisors to determine where areas of personal strength and weakness may exist
4. Continually clarify my educational platform by asking the question "What is best for children?"

The principal whose platform was illustrated at the beginning of this chapter concludes her platform statement with the following statement of actions that she wishes to carry out for her professional development in the future:

1. Work on becoming more of a visionary leader who can pull a group together to achieve a common goal
2. Improve my evaluation techniques, time management skills, and legal knowledge by participating in relevant courses, inservice programs, and other learning activities during the school year
3. Improve my communication skills and interpersonal skills
4. Develop trusting and open relationships with students and the staff
5. Spend more time expressing appreciation and acceptance of the staff and students

These two action plans allow the teacher and the principal to examine the major nonnegotiable issues described in their original platform statements and to select a series of important personal professional development objectives. Action planning allows the platform writer to come full circle from an original statement of philosophy to a statement of action.

Look back over the responses that you provided to the questions related to the platform-development process earlier in this chapter. What specific actions do you plan to follow to fulfill the statements of beliefs that you wrote?

Finally, it is relatively easy to fill a platform statement with many commendable, nice-sounding, lofty, or even politically correct items. One example might be the frequently stated belief that "all children can learn." Although this is indeed a supportable statement and belief, the question is whether such a statement, or similar pronouncements, are always supported by actions and behaviors that a teacher or administrator can witness on a regular basis. It is important to espouse one's educational philosophy in a way that can be shared with others. On the other hand, it is even more critical that such statements be honest and consistent with actual practice. Nothing could be worse than saying something and then not "walking the walk."

Summary

This chapter introduces the most critical and basic activity—namely, considering one's own philosophy and beliefs regarding education—for anyone thinking about becoming an educational administrator.

Beliefs and attitudes change frequently during our lives; values are more permanent. However, values can also be modified over time. Personal professional values can be put together in a coherent statement to guide one's transition from one educational role to another. Two separate but related tools may be used to accomplish this goal: (1) an individual educational platform and (2) an action plan derived from the platform. Writing down these ideas helps us understand and demonstrate our most important values. Becoming aware of personal values benefits both individuals and the organizations in which they work. Excerpts from the educational platform and action plan of an elementary school principal illustrated how the formulation of a personal statement can guide future practice.

Suggested Activities

1. Formulate your own educational platform, using either one of the formats suggested in this chapter or any other approach that you wish. Although it may not be possible to write about every issue identified in this chapter, define as many important educational issues as you can at this time.

2. Review the educational platform you have developed. In what ways can your educational values be put into action as you assume an administrative position? Make a brief list of actual behaviors or objectives that would enable you to put your beliefs into action.

3. As you review your platform, write down one or more observable behaviors you demonstrate that allow others to see that you consistently put your beliefs into action. By contrast, identify any of your value statements in the platform that may be contradicted by your normal practices and behaviors.

4. Share your platform with someone who knows you quite well and ask him or her to provide a critique. Is what you say you believe reflected in what you do on a regular basis?

3

Building-Level Administrators

Recently, Kelly Marshall was invited to return to the campus of the university where she received her graduate degree and took courses leading to her administrative license. Mark Richards, professor of school law, had asked her to appear as a guest speaker in his law and the school administrator class and share some of the war stories from her first year as a principal. When Kelly walked into the class, she saw several young people whom she assumed to be new teachers taking the course primarily to complete their master's degrees. She also recognized a few experienced teachers. In fact, one teacher from her own building was there, a person she knew was actively getting ready to qualify for one of the three principalships rumored to be opening up in the school district in the next 2 years. Finally, she noted that four people sitting in the class were school administrators (two principals, one assistant principal, and one central office director), all of whom had more experience than she did in the hot seat.

Because of the variety of backgrounds reflected by the people in the room, Kelly decided to begin by asking people to explain why they were there and what they hoped to achieve by taking this class. The young teachers stated that they were in the class because it was a requirement for the master's degree in education and that the degree was their goal. They needed to get the degree to move up the salary schedule of their local school district. As expected, the experienced teachers, many of whom already had advanced degrees in their teaching fields, stated that they were actively seeking initial administrative licensure because they had decided to pursue positions as school principals in the next year or two. Finally, the practicing administrators said that they were there to collect enough credit hours for renewal of their administrative licenses or because they needed the course to qualify for

a superintendent endorsement. As Kelly listened to their stories, Professor Richards smiled at this review of tales that he had heard every term for many years. Kelly wondered what she could say that would be of value to a group with such diverse backgrounds, interests, and most important, apparent commitment to the field of educational administration—veterans, rookies, and many who did not really have much interest in the world of the principal.

* * *

Once again, Kelly has encountered a reality that may be quite consistent with issues you are now facing and observations you may be making as part of your preservice preparation program. We know that not all school administrative jobs are the same, and yet we often ignore basic differences between administrative posts in an effort to train people efficiently. As a result, everyone—regardless of background, experience, insights, interests, or goals—must follow the same prescribed university curriculum needed for administrative licensure and academic degree completion. Although this may make sense from a practical perspective, the "one size fits all" approach to administrator preparation is filled with many problems. Imagine walking into a shoe store that has the same philosophy: "Regardless of the size of your foot, and what you're going to do with your new shoes, we sell only men's black wing tip dress shoes, size 10EEE. It's not our problem if our shoes don't fit your goals—or your feet."

Another important insight to be gained from the story about Kelly's appearance in the school law course was that one of the groups that raised its hands at the beginning indicated that they were in the class as "window shoppers." They were people whose primary goal was to qualify for an academic degree, without further commitment to becoming formal school leaders. Perhaps they wanted the degree only so they could reach the next salary increment on their district's pay scales. Or they might have been in class because someday, under the right circumstances, they might want to go into administration—but not just yet. Or they might be people who do not want to pursue administrative careers—they like what they are now doing in classrooms but are willing to gain some information about an alternative career, "just in case."

Somewhere in the array of individuals sitting in the class in which Kelly is about to speak are people who are probably enrolled in the course for reasons similar to yours. In the space below, indicate your primary purpose in taking one or more courses in the field of administration.

This chapter presents an overview of the job of school administration at the individual building level. As this overview unfolds, I review key characteristics of the job of being an administrator in schools. Included is a look at the general features of the job that may be part of your future. I also consider what may be even more critical issues associated with the job of school administrator, namely what people do who hold these jobs. Demands are imposed on administrators by many groups.

Building-Level Administrative Jobs

Two formal administrative positions exist at the school building level: the principalship and the assistant principalship. Depending on a variety of factors such as the level of school (elementary, middle, or secondary), its size, the type of school district in which the school is located (urban, suburban, or rural), or even the region of the country, other administrative jobs may exist. These might include deans, directors, directors of student activities, and athletic directors. The review here focuses on principals and assistants.

Assistant Principals

For many individuals, the first step toward an administrative career is the assistant principalship.

Functions of the Assistant Principal

In very general terms, those who historically have occupied this role have had two primary functions: (1) to assist the principal in carrying out mandated duties and (2) although not stated explicitly in board policy, to learn the job of the principal so that at some point in the future, the current assistant principal may step into a principal's office. This might be thought of as a full-time administrative internship.

Recently, some researchers examined the role of the assistant principal more completely. Catherine Marshall (1992), for example, noted that the jobs of assistant often depend largely on the orientations that individuals take to the job. Her case studies and interviews suggest at least six categories of career orientations of those who serve as assistants:

1. *The upwardly mobile assistant principal.* This person has developed a highly useful and active network of colleagues in professional organizations. This individual values loyalty to superiors and demonstrates a willingness to take risks.
2. *The career assistant principal.* This person does not wish to be a principal but has created a pleasant working environment with preferred task assignments, good relations with higher administrators, and enough authority to view his or her position with pride.
3. *The plateaued assistant principal.* This individual would like a promotion to principal but has applied several times and been rebuffed. No opportunity for advancement has really existed. Such a person often lacks mentor assistance and the skills necessary for good human relations.
4. *The "shafted" assistant principal.* This person has fulfilled the criteria for the upwardly mobile but remains without a chance of promotion. The person has plateaued and has lost sponsors' help. Such a person may have lost help because of inappropriate placement or district changes.
5. *The assistant principal who considers leaving.* This assistant principal is young enough to develop an alternative career and may have other skills enabling him or her to change professions and earn money. The candidate may have been in a managerial position outside education.
6. *The downwardly mobile assistant principal.* Research showed a reverse career trend for some assistants from principal to assistant principal or to teacher or principal of a smaller school. These reversals would be involuntary and would result from reduction of administrative staff due to budget or demotion based on a political mistake. Voluntary reversals in positions were also requested by assistant principals with health problems or by those who wished to return to a job with tasks they preferred. (Marshall, 1992, pp. 47-48)

In your experience as an educator, how many different types of assistant principals from Marshall's list have you known?

The preceding list of assistant principals does not include yet another type, namely the assistant who is incapable of doing the job in the first place. Although there may not be huge numbers of this model, people also assume assistant principalships and quickly fail to demonstrate the kinds of managerial or leadership skills that would allow them to serve as effective members of a district's administrative team.

The orientations to the role of the assistant may vary, and the specific job duties may not always be similar for individuals who take on this job.

The list of duties assigned to secondary school assistant principals may seem to be a collection of unconnected activities. Two explanations are possible. First, particularly in larger high schools, duties are often assigned to more than one assistant principal. As a result, there may be responsibilities for the "assistant principal for student services (discipline)," another group of duties for an administrator in charge of curriculum, and so on. Despite this fact, most studies of assistant principals show that if any area of responsibility is common to virtually all of them, it is that of student discipline.

Another reality shown in the large list of assistant principal duties is that, traditionally, assistant principals have been assigned tasks unrelated to one another. As a result, assistants often spend the bulk of their time jumping from one task to another, putting out fires. An item found in the job description of most assistants—"carry out all other duties assigned by the principal"—is therefore no trivial matter. The principal may want to spend time engaged in teacher supervision or staff development. Thus, the assistant may be able to do little more than work on student discipline; oversee the school's physical plant; respond to teacher, staff, parent, student, or community complaints; and engage in an array of other activities, none of which are related to teacher supervision. Because the principal wishes to serve in a way that can be defined as an "instructional leader," the assistant can often become only a role player and a building manager.

These factors lead to an important observation about the value of serving as an assistant principal as preparation to be a principal some day. Being an assistant will give you a great deal of hands-on experience with things that school administrators must do. On the other hand, it is possible that as an assistant principal, you could easily spend most of your time doing only a narrow range of tasks that have little to do with preparing you for the breadth of responsibilities required of principals. Conventional wisdom suggests that you need to spend time as an assistant principal to learn the ropes. However, the assistant principalship and the principalship are often two distinct and highly disconnected jobs. You may learn the ropes, but those ropes may be only a small part of the job you need to know.

Talk to some of the assistant principals who work in your current school districts. Look at their written job descriptions. To what extent are these administrators involved in a broad range of different tasks each day?

Gary Hartzell, Richard Williams, and Kathleen Nelson (1995) reviewed the work of assistant principals. They identified several broad categories of concerns that are part of the assistant principal's job:

1. *Learning the environment of the assistant principalship.* Although new assistants realize that their new positions will be different from what they have experienced in the past as teachers, they are still subject to culture shock when they discover the precise nature of their duties. Among these are the true volume of the job (i.e., not just the duties of a formal job description), the pace of the job, and the time commitment required.

2. *Administering student discipline.* Most beginning assistants walk into their first assignment knowing that they will be involved with student discipline. As classroom teachers, they knew that the first line of intervention for disruptive students was typically the assistant principal. Nevertheless, newcomers still are surprised at the consequences of so much time devoted to discipline:

- Spending so much time on discipline gradually changes the assistants principals' perception of the job they are appointed to carry out and, to some extent, their personal and professional self-identity ("I thought I was hired to help in promoting better instructional practices. Instead, I find that being a school administrator is more like being a cop or a warden!").
- Being so completely involved with discipline issues often changes assistant principals' attitudes toward students and alters relationships significantly. Many assistants spend the majority of their time interacting with problem students. As a consequence, over time they lose perspective and begin to believe that most students in the school have problems.
- Serving as a primary disciplinarian changes an individual's perspectives on parents and teachers. As a person on the front line for so

many teacher problems such as how to deal with discipline, the assistant often sees teacher behaviors never witnessed before. And discipline problems can evoke a wide range of responses from adults who are indirectly affected. Parents often see the actions of the assistant principal as "too harsh," whereas teachers might see the same action as "too soft." The result may be assistants who develop a cynical view of likely reactions that others will have as they carry out their duties.

3. *Working with teachers.* The new assistant discovers in daily practice that not all teachers are alike. Some teachers recognize this fact in a general way as they work in their classrooms each day, but those who first enter the world of administration gain a realization of just *how different* teachers are. The long-term consequence of such awareness is often the adoption of different attitudes toward teachers and, ultimately, different patterns of work and social interaction.

4. *Working with classified staff.* Assistants are normally placed in situations where they must interact on a regular basis with the classified staff. There are three consequences from this.

- Assistant principals often "discover" the world of classified staff—who they are, what they do, what they want to do, and so on. Teachers, of course, see clerks, secretaries, custodians, bus drivers, and cafeteria workers. They interact with these individuals on a more or less regular basis—but not in a professional way. Assistant principals must talk with custodians to get specific jobs done or communicate with cafeteria staff on matters such as changes in lunch schedules and requests for days off. This is something they were never required to do as teachers.
- Assistants interact with classified staff very differently when they recognize that people who they barely knew as classroom teachers have enormous power to make the school run effectively—or not. Angry custodians or cleaning personnel can do many things to make life miserable for assistant principals.
- Assistant principals may suddenly have a new resource—a secretary (or at least access to someone who serves as a secretary). This is a new experience for former classroom teachers who have never had a secretary to rely on. As a result, the new assistant often has little understanding of how to work effectively with a secretary.

5. *Working with other administrators.* Finally, the new assistant principal is now part of a different social system within the district. He or she has crossed the line from teaching to administration. As a result, the assistant is no longer a teacher who can blame administrative personnel for mistakes

and the wrong decisions. The assistant principal is now one of them and must interact positively with a different referent group.

Special Issues for Assistant Principals

The assistant principalship is a formal educational leadership role with its own unique characteristics. One thing makes this position different from the principalship, superintendency, or any other administrative post: assistant principals do not enjoy much formal authority and delineation of their own responsibilities. Principals are "in charge" of their schools, and superintendents are "in charge" of their school districts. They possess not only power and control in their roles, but they are empowered legally to make certain decisions and promote certain actions in their organizations. Assistant principals may be made powerful and have a good deal of control over the organizations in which they work, but they have severe limitations on their formal authority. They work at the direction of the administrative superiors who directly oversee their work each day. It is true, of course, that in many schools, assistant principals and principals work together effectively as teams, and when an assistant principal makes a demand of staff members, students, or teachers, her or his orders have the same weight as those made by the principal. But such a scenario is not always the case.

Assistant principals, of course, can and often do have power and control over the activities in their schools. On the other hand, they also have distinct limitations on their formal authority. They may serve as designees to fulfill certain statutory responsibilities assigned to principals, but in the long run, principals are those with ultimate responsibility, authority, and power.

For the most part, the sharing of authority and formal power between assistants and their principals causes no great problems. In fact, for many who see the assistant principalship as their first step into school administration, not being held totally accountable for decisions might be viewed in positive terms. Mistakes made in the assistant principal's office, although not desirable, are often easier to rectify because the principal is still the person in the hot seat. Problems arise when assistants find themselves in situations where they must work with principals who are either unwilling or unable to perform their jobs effectively. In these cases, the assistant may be in the difficult position of having to fulfill certain responsibilities without enjoying any formal power or authority. Frustrations in such situations are enormous, because it is important that schools run effectively, even when principals are not effective. However, assistants at the beginning of their careers cannot afford to appear arrogant or disloyal, and they must not intrude on the turf of the principal. Loyalty and commitment to proper organizational structures and relationships are valued behaviors in schools.

I have one final caution for those who serve as assistant principals and still expect a principalship in the future. It is easy to become typecast—as an

assistant with skills in only one narrow area. For example, individuals who have developed good reputations as disciplinarians are often passed over for principalships because there is some question as to whether they are capable of doing much else. In other words, a person who views the assistant principalship as a transition to the principal's office must be sure to gain the skills needed to fulfill all the responsibilities of the principal. It is critical, of course, for a person to do an assigned job effectively, but if you are assigned only student discipline, you will also need to learn about financial management and budgeting, community relations, teacher and staff evaluation, and curriculum development. Working with a principal sensitive to an assistant's career goals and learning needs is helpful. However, even without that support, a person needs to gain insights, knowledge, and experience related to all the things that a principal must do. Taking additional courses, visiting principals in other schools, enrolling in seminars, and reading professional literature can all broaden one's limited perspectives.

As you think about possible service as an assistant principal, how would you plan to address the special issues identified here?

Principals

In contrast to the relatively understudied role of the assistant principal, principals have been studied by many researchers over the years. These studies have looked at the daily life of the "typical" principal (Wolcott, 1973), the position as a key ingredient in effective schools (Lipham, 1981), and how individuals might be more adequately prepared to step into that role (Gresso, 1983; Murphy, 1992). We think we know *who* principals are, *what* they do, and *how* they ought to do their jobs better.

Historical Profile of Principals

One way to begin an overview of the school principalship is to recall how this job has evolved over the years. Despite the acknowledged importance of

the position as a key ingredient in more effective schools, the job is a relatively recent creation in education in the United States. Until the end of the 19th century and the beginning of the 20th century, full-time building administrators were not typically found in schools. It was not until schools became larger and the population shifted from rural to urban settings that it became common for individuals to be assigned time for the purpose of administering individual schools. As I mentioned in Chapter 1, at first, these administrative duties were assumed by teachers on a part-time basis. Serving as *principal teachers* was truly the rule rather than the exception. As managerial responsibilities increased, the teaching functions of principals began to disappear in all but the smallest of schools.

Another way to analyze the historical development of the principalship is proposed by Lynn Beck and Joseph Murphy (1993), who describe the literature related to the role of principals over the past 70 years. They suggest the following metaphors to describe the ways in which the role of the building-level administrator has changed:

1. The 1920s and 1930s
   - *The principal as spiritual leader.* The work of the principal is linked with absolute, spiritual truths and values.
   - *The principal as scientific manager.* The principalship is energized by a zeal for education and guided by the principles of scientific management.
   - *The principal as social leader.* The principal is expected to be a social leader in the community.
   - *The principal as dignified leader.* In all cases, principals act with dignity and importance.

2. The 1940s
   - *The principal as the leader on the home front.* During World War II, the principal is the school's leader at home.
   - *The principal as democratic leader.* The principal is expected to demonstrate democratic leadership.
   - *The principal as curriculum leader, group coordinator, and supervisor.* The principal is directly involved with the school's instructional program.
   - *The principal as public relations representative.* The principal communicates practices and priorities of the school to the community.

3. The 1950s
   - *The principal as administrator.* The principal is seen as a person who can bring together the worlds of effective teaching and management.
   - *The principal as defender of educational practice.* The principal defends the work of educators by offering empirical evidence of effective performance.

- *The principal as efficient manager of time.* The principal is involved with prioritizing organizational tasks so that everything desired can be accomplished.
- *The principal as overseer of minute details.* The principal gets involved with all matters related to school operation, whether large or small.

4. The 1960s
   - *The principal as bureaucrat.* The principal is a member of a well-developed educational bureaucracy, with clearly defined bases of power and responsibility.
   - *The principal as protector of bureaucracy.* The principal guards the distribution of power within the hierarchy and handles those who challenge the system.
   - *The principal as user of scientific strategies.* The principal uses empirical data in planning and measuring the work of the school and teachers.
   - *The principal as accountable leader.* The principal is held accountable for measurable outcomes in the school.
   - *The principal as inhabitant of a role in conflict.* The principal lives in a state of confusion over what his or her role is to be in reality.

5. The 1970s
   - *The principal as community leader.* The principal is expected to lead students, teachers, and the larger community as well.
   - *The principal as imparter of meaning.* The principal is supposed to impart meaning to educational efforts.
   - *The principal as juggler of multiple roles.* The principal is expected to juggle a number of roles that often require competing skills.
   - *The principal as facilitator of positive relationships.* The principal is expected to relate well to persons and to facilitate positive interactions between students and teachers.

6. The 1980s
   - *The principal as problem solver and resource provider.* The principal solves problems and provides resources to facilitate the teaching and learning process.
   - *The principal as instructional leader.* The principal is expected to guide teachers and students toward productive learning experiences.
   - *The principal as visionary.* The principal is expected to develop and communicate a picture of the ideal school.
   - *The principal as change agent.* The principal is expected to facilitate needed changes in educational operations to ensure school effectiveness.

7. The 1990s
   - *The principal as leader.* The principal is to lead the transition from a bureaucratic model of schooling to a postindustrial model.

- *The principal as servant.* The principal provides direction for change while not offending the integrity of the hierarchical structure of school systems.
- *The principal as organizational architect.* The principal must find ways for schools to exist productively within their natural environments.
- *The principal as social architect.* The principal plays a role in assessing the fit of the school in the larger societal fabric.
- *The principal as educator.* The principal returns to an earlier image as the primary teacher in the schools.
- *The principal as moral agent.* The principal serves as values analyst and witness to lead the ethical formation of the school community.
- *The principal as person in the community.* The principal leads the school as part of a caring and integrated community.

This next decade will likely see a greater drift away from principals serving as teachers—at least on a part-time basis. In many districts, the advent of practices such as site-based management means that more principals will likely spend a larger percentage of their time engaged in activities such as budget preparation and management, scheduling, and, perhaps more significantly, interacting with advisory boards and other community groups. Indeed, if the current push to make individual schools function more autonomously continues, individual schools will increasingly take on properties of school districts and principals will become more like superintendents in terms of what they do.

As you review the list of metaphorical descriptions of school principals, which items seem to be closest to your ideal view of what principals ought to be doing? How does this fit with other elements of your personal platform, as developed in Chapter 2?

What Do Principals Do?

There is a fairly clear picture of what principals do during a typical workday. In a review of how elementary school principals spend their time, the

National Association of Elementary School Principals identified the following areas of activity (Gottfredsen & Hybl, 1987):

- *Staff direction and visibility.* Planning staff meetings, directing and orienting teachers, and establishing one's presence in the school
- *Observation and feedback.* Observing and reviewing with individual teachers their performance in instruction and classroom management, discussing formal performance evaluations with staff, and providing timely feedback on observed strengths and weaknesses
- *Planning and action for school improvement.* Formally assessing the needs of the school, evaluating the effectiveness of school practices, discussing and developing plans for school improvement, setting goals, and establishing policies to cover day-to-day decision making
- *Personnel management.* Holding staff meetings, assigning responsibilities to staff, analyzing personnel needs, recommending the promotion or termination of employees, arbitrating disputes, and arranging inservice training
- *Policy development.* Establishing and modifying policies, especially those related to attendance and discipline, and overseeing the work of others in this area
- *Keeping up-to-date.* Reading to identify useful research findings and to determine how federal, state, or local regulations affect the school; visiting other schools to identify effective practice
- *Instructional management.* Analyzing the curriculum to ensure sufficient coverage and articulation, setting specific educational objectives, and planning or organizing curriculum development activities
- *Student interaction and student control.* Working with individual students in matters related to discipline, attendance problems, or academic difficulties; maintaining order and civility in the school; or selecting classroom management methods
- *Parent and community relations.* Meeting with parents and citizens to promote the school or discuss school programs, creating concrete programs to involve parents in school activities, assessing public opinion, and developing a public relations plan for the school
- *School system interaction.* Negotiating with the central office to revise, change, or update educational goals and objectives effecting school policies; interpreting directives; and adapting school plans or practices to policy established by higher officials
- *Coping with disorder.* Removing intruders from the school, rendering first aid, interacting with police or fire officials and emergency medical

personnel, testifying in court, and troubleshooting incidents involving disgruntled persons

- *Cocurricular activities.* Planning or evaluating cocurricular activities
- *Union negotiations.* Working with or negotiating with union representatives about working conditions or pay

There is often a discrepancy between what people want to do as educational leaders and what they actually can do on the job. This may be a critical issue as you weigh your choices regarding the principalship. As a school administrator, you may wish to accomplish many important things and you may wish to define your job in ways that are important to you. The fact is that the daily realities and pressures associated with the job may deter you from doing what you wish you could do.

To conclude, it might be useful to consider Larry Cuban's (1988) analysis of Ed Bell, an elementary school principal who serves as the center of Harry Wolcott's description of the daily work of school principals in his 1973 study *Man in the Principal's Office*:

> Bell spent most of his time in scheduled and unscheduled meetings with his thirty teachers, parents, and the district office. Unscheduled meetings that took up a large chunk of his time invariably touched upon such matters as soothing an angry mother whose child was in a reading program scheduled at an awkward time for her, disciplining a child who had been sent to the office, discussing with the custodian a necessary repair, and the like. Returning phone calls, checking through the mail, and getting briefed by his secretary took up bits and pieces of his time strung together between sporadic sweeps through the building or unexpected interruptions by teachers and students about matters that needed immediate attention. (Cuban, 1988, p. 75)

Cuban further analyzed Wolcott's study and noted that for the most part, Ed Bell (and presumably most elementary principals) spend so much time dealing with managerial issues in their buildings that they typically have little time or energy left at the end of the day to engage in supervision of the school's instructional program. Even when principals want to invest as much time as possible serving as instructional leaders (thus maintaining the principal teacher image), their workdays are such that it is normally very difficult to do much more than react to the needs and demands of others, whether they are teachers, staff, parents, central office administrators, community representatives, and, of course, students. In short, the conflict for many who step into the principalship is that they wish to be proactive and effective leaders in a world that mostly requires the ability to be reactive.

Special Issues Facing Principals

Many issues currently face principals around the United States. These should be appreciated by anyone thinking of making a career move in that direction.

Continuing Middle Managers. On the one hand, principals are described as key ingredients in effective schools. Most research has spotlighted the performance of the principal as one of the primary determinants of whether or not a school will be perceived as effective. On the other hand, anyone who serves as a principal is amused with efforts to paint a picture of a principal as totally in control of all aspects of a school's operation. The principal will always be a person who must walk a line between being a critical leader in charge of what goes on in a school and a person who translates the directives of others—the central office and the district's school board—into action each day. Teachers, staff, students, and parents may envision the principal of a school as a very powerful person, but there are limitations to that power. This organizational fact of life is not meant to reduce the tremendous value and importance of an effective principal, but it is a reality that will likely not diminish in the future.

Expectations of Instructional Leadership. Despite being in a middle-management position in a school district, there is a great appreciation for what the principal can do to bring about more effective practice. And greater effectiveness is brought about through the principal serving as an *instructional leader.* That term has been used so frequently and often so loosely that it may almost be a cliché at times. Nevertheless, it represents an important concept: When principals are actively involved in promoting more effective practice in the teaching/learning process of their schools, better things will happen for students. On a day-to-day level, specific acts of instructional leadership may vary. But in general, when the principal defines his or her role more in terms of serving instructional priorities—as opposed to simply managing the school building—he or she is more of an instructional leader. The expectation that a principal would serve in this fashion will no doubt persist and probably grow in the future.

Changing Role Based on Reform Proposals. A number of reform measures have been proposed in recent years to ensure that more effective practice takes place in schools. One example of this is the adoption of site-based management. This practice is often proposed by reformers who believe that if parents and others with a stake in the quality of schools could get a chance to have a greater say in how those schools operate, things would be better. Although one might wonder if there really is a cause-and-effect relationship, this belief is popular. It suggests that many believe that schools and districts are out of touch and that they have somehow gotten away from providing

parents and taxpayers with a sense of control and involvement. As you engage in conversations with the public, listen to radio talk shows, and read letters to the editor in many newspapers, you will notice that people believe that the educational system in the United States has not lived up to its promise. If people could get inside the system more directly, those problems would be reduced.

This is neither a correct nor an incorrect view. Rather, it is based on the observation that there is a press toward greater public involvement in schools. As a result, the role of the principal will likely be affected. Many school districts and even entire states have now mandated the adoption of site-based management practices. Many decisions formerly made at the school district level are now made by teams at individual schools. What this will likely mean in the long run is that building-level administrators will increasingly assume responsibilities traditionally reserved for school district administrators. In the past, principals could be content to work directly with teachers, parents, students, and staff in their own schools, without becoming directly involved in the political processes and school board behaviors faced daily by superintendents. With the advent of site-based management, local schools have advisory boards comparable to district boards of education. Involvement with the political behavior of local advisory board members and others is becoming a reality faced by principals who can no longer assume that certain issues will be taken care of by the central office. At the same time, however, school districts will continue to exist, and there will be little official change in the status quo. Principals will continue to be expected to serve in middle-management roles between the central office and the local community. Although these changes do not automatically mean that the role of the principal is becoming an impossible one to serve effectively, it is critical for anyone thinking about a future in this position to consider the fact that change is already underway. The role of the principal in 10 years may be quite different from the one played by many excellent role models of the past and present.

The Plus Sides of the Principalship

When Kelly has a particularly tough day in her office, when phone calls are too numerous to return at once, when the local school advisory committee demands something for which she was unprepared, or when the central office asks for a report to be turned in "by yesterday," there is one thing she loves to do for instant stress relief: She goes out into the halls, talks to kids, visits classrooms, watches teachers teach, and does some cafeteria duty. In short, one important thing that Kelly and many other principals are able to do is get back to the world of teachers and children and to reorient themselves to the reasons for becoming teachers in the first place.

Information in this chapter may strike you as an effort to dissuade you from moving toward a principalship. Frustrations and duties that are part of the daily life of building administrators may seem a bit overwhelming, and changes in the future of the principalship may be such that you may not want to deal with some of these tensions. On the other hand, principals who have been successful in their roles have all dealt with the many issues presented here and have moved on to truly enjoy their work. They indicated that they would become principals again if they had a chance to make such a decision once more in their lives.

As Kelly reported, one of the positive features of being a principal is that it is a job *in* schools. Contact with students is still a big part of the work of principals. Although this contact is often limited and much of the contact is either with students who have great problems or who are very good students (e.g., the officers of the senior class, National Honor Society members, etc.), principals are still able to find ways to get out into the halls and interact with students whenever they wish. As a consequence, being a principal allows an educator to continue to have contact with the groups of people who likely attracted him or her to go into teaching in the first place.

Another positive aspect of being a principal is that the school leader has the power to make necessary changes and improvements to affect the lives of students in constructive ways. Many classroom teachers report frustration with the issues and problems facing students that, from the perspective of an individual teacher, are nearly impossible to change. Individual teachers, for example, can see that students in their class are not able to deal effectively with transferring learning from one subject to another. Or a single teacher can observe an entire grade level of students experiencing a sense of low morale. But a principal can act on these issues that go beyond the control of one teacher at a time. And in many cases, these types of issues are of much greater importance than the kinds of problems that might appear in an individual classroom.

What are some other areas you believe make the role of the school principal a desirable one for you?

Being a principal is unquestionably an important job, and it is often a very difficult one to do effectively. On the other hand, the sense of serving students from the principal's office is one that is enjoyed by the majority of individuals who take on this challenge.

Summary

This chapter began by recognizing differences between the roles of school administrators who work at different levels of the educational system in the United States. Building-level administrators—principals and assistant principals—have responsibilities that are quite different from those of central office administrators.

The remainder of the chapter presented information about administrative roles at the individual school building. First, we examined the assistant principalship, with special emphasis on the view that this position is often seen as a way for people to move toward the goal of a principalship. Next, I presented details concerning the principalship, often considered the key role for enhancing the quality of individual schools. In the cases of both the principal and the assistant principal, I presented information about how the roles are likely to change for people who will take on these duties. The chapter concluded with a number of observations related to the positive aspects of life as a building-level school administrator.

Suggested Activities

1. Interview one or two assistant principals. Using the different perspectives of the assistant principalship developed by Catherine Marshall, assess each of the assistants in terms of their placement in this framework.

2. Interview at least three principals, preferably one at the beginning of their career, one with a few years of experience, and one who is nearing retirement. Ask them to describe the best part of their jobs and also the most frustrating aspects of their work.

3. Scan the newspaper each day to collect stories about different public perceptions of what building administrators should be doing in their jobs. How do these descriptions from the daily newspaper fit with the trends described in this chapter?

4. Review television shows and movies to see how school principals are presented in the media. Can you make any generalizations about the public perceptions of school leaders based on these popular images?

5. Review the requirements for principal licensure or certification in your state. What is the image of a "competent" or "qualified" principal (or assistant principal), based on the requirements for these positions in your state?

6. Interview three or more principals and determine how they are able to maintain contact with students and not just students who are sent to their offices for discipline problems. For example, do they volunteer to serve as substitute teachers from time to time? Do they supervise the cafeteria? In some cases, they may even occasionally teach a class.

Additional Readings

Anderson, M. E. (1991). *Principals: How to train, recruit, select, induct, and evaluate leaders for America's schools.* Eugene: University of Oregon. ERIC Clearinghouse for Educational Management. (ERIC Document Reproduction Service No. ED 337 843)

Daresh, J. C. (2001). *Beginning the principalship* (2nd ed.). Thousand Oaks, CA: Corwin.

Lipham, J. M., Rankin, R. E., & Hoeh, J. A., Jr. (1985). *The principalship: Concepts, competencies, and cases.* White Plains, NY: Longman.

Marshall, C., & Kasten, K. L. (1994). *The administrative career: A casebook on entry, equity, and endurance.* Thousand Oaks, CA: Corwin.

Robbins, P., & Alvy, H. B. (1995). *The principal's companion: Strategies and hints to make the job easier.* Thousand Oaks, CA: Corwin.

Sagor, R., & Barnett, B. G. (1994). *The TQE principal: A transformed leader.* Thousand Oaks, CA: Corwin.

Smith, W. F., & Andrews, R. L. (1989). *Instructional leadership: How principals make a difference.* Alexandria, VA: Association for Supervision and Curriculum Development.

4

Superintendents and Central Office Administrators

A few weeks after Kelly Marshall appeared as a guest speaker in Dr. Richards's class, she received a call from a faculty member at the university. She wanted to know if Kelly had given any thought to what she was going to do as a "next step" in her administrative career. After all, she was undoubtedly interested in the superintendency or some other central office post now that she had gotten her feet wet as a principal. "Two or three more years of successful experience, and you'll be ready to start looking for a top job," she was told. And she could take the four or five courses needed to qualify for an upgrade in her certificate while doing time as a principal.

The phone call startled Kelly for a number of reasons. For one thing, she was so busy learning the job as a first-year principal that she had never even considered taking any more university courses for a while. The second surprise was that a university professor would have such a strong view of the principalship as a stepping stone for the superintendency and that Kelly was not going to stay at the building level for very long.

* * *

Kelly is certainly not the first principal to discover the belief held by many that the principalship is but a stepping stone to a superintendency. In fact, in many states where there are very small, rural school districts, the road to the superintendency does not necessarily involve any prior formal administrative experience. The same is true in other states where searches for superintendents of large urban districts have recently led to the selection of individuals with considerable executive experience outside education. Governor Roy

Romer of Colorado assumed the superintendency of the Los Angeles Unified School District in 2000, and Paul Valas, a former Standard Oil executive, has been the chief executive officer of the Chicago Public Schools since 1990. Although the principalship is typically described in terms consistent with teaching and school building service, the superintendency is often seen in very different terms—as a chief executive officer for an entire school district. In this view, district administration is more analogous to the work of corporate executives who oversee the broader managerial concerns of organizations. Similarly, administrative posts in school system central offices are seen as different from the work of principals and assistant principals. Having made these observations, however, it is critical to note that superintendents, principals, central office administrators, and assistant principals are all part of the larger group called *school administrators*, and as such, they may represent careers you may aspire to at some point in the future.

In this chapter, we will look at two broad types of administrative roles: central office positions and superintendents. For each, we examine some fundamental characteristics and qualities. Then I suggest some of the unique features associated with each group of roles so that you may be better informed about your personal career choice.

Central Office Administrators

In this section, we review school administrative jobs that are not at the individual school building level (i.e., principal or assistant principal), but they are also not the superintendency. Trying to establish a single profile for this group is nearly impossible. There are more than 15,000 school districts in the United States, each of which has its own organizational structure and internal configuration, and therefore it is impossible to develop an absolutely perfect comparative analysis. An assistant superintendent in one district is not necessarily doing the same thing as a person with a similar title in the district next door. And a director in one system is not always the same as a director (or coordinator or many other titles) in other districts. Finally, U.S. schools come in many different sizes, and this has an effect on designations of central office posts. In the United States, districts range in size from over 1 million students to fewer than a few dozen. A central office is not a central office is not . . .

Because there are so many different models of staffing central office administrations across the country, it is nearly impossible to make summary statements about these positions in terms of such things as average salaries or typical characteristics of people who hold these administrative positions. And it is hard to make other generalizations about the nature of school administration that is not at the building level or the superintendency. In the past, it was easy to suggest that as districts became bigger, there were more

jobs in the central office. That idea is tied in large measure to the notion that nonsuperintendent central office administrative posts ought to be tied directly to functional specialization. In other words, if a district is so large and complex that labor relations and other personnel matters are also quite complex, it may warrant the creation of a specific job called "director of personnel" (or "director of human resources," more recently). In a similar vein, if there are many school buildings in a district, it may mean that a central office position would be dedicated to the supervision and oversight of the buildings and grounds department. At best, most school systems include only a few administrative generalists (perhaps only the superintendent and one associate superintendent) in their central offices, whereas others who work in that part of the district organization do so because of acknowledged special expertise. A good example of this evolution was the creation (particularly during the 1970s and 1980s) of more central office positions for directors of pupil services. A greater focus on special education needs and programs, as well as programs designed to provide social services to children, has meant that many systems have administrative units that deal exclusively with such issues. Often the administrators who assume such roles have recognized experience and expertise in special education, although this is also a matter of local choice. In many cases, the director or coordinator of pupil services is not a special educator but is instead an experienced administrator in the district with recognized skills in working effectively with students and their concerns.

Central administration positions are now undergoing considerable review across the United States. This review is based on both practical and philosophical considerations. The result of this review is generally a significant reduction of administrators in central offices across the country. The practical causes for reductions are financial and political in nature. Quite simply, school districts are downsizing their administrative staffs at the central administrative level because such staffs are costly. Arguing to keep administrators because they are needed to carry out essential services in a school system has had little effect. The current trend in school districts is one of cutting, not preserving, positions that to the public appear to be "nonessential" or that make school districts top-heavy with administrators. It may be that the complexities of administering special education programs will dictate hiring additional staff to oversee programs for learning disabled or physically challenged students. But the public sees signs of overstaffing when tax dollars are used to support people who do not work directly with pupils in school buildings or classrooms. This, then, is not only a financial reality but also a political one. If school boards and superintendents don't seem to be taking measures to reduce what may be seen as nonessential school personnel, they run the risk of alienating large portions of the taxpaying public. And when that occurs, even fewer resources are likely to be found to provide essential services for schools.

There are philosophical reasons for the decrease in numbers of central office administrators in school systems across the United States as well. In these cases, the view is that schools would be more responsive to student and community needs—and therefore more effective—if they were less confined by centralized management practices. In some cases, this belief is reinforced by the adoption and implementation of site-based management approaches. Here, individual schools engage in practices that call for groups of citizens to participate more directly in decision making related to the needs of the individual local school. In other cases, decentralization of school management does not take on the practices of site-based management per se. On the other hand, practices traditionally directed from a centralized administration in school systems are now being turned over to individual school staffs. A good example of this is in the area of staff development, once an activity directed largely from the central office. Now, many school systems are closing district inservice and staff development offices and redirecting the resources formerly invested at the district level to individual schools; individual building principals are often responsible for working with their staffs and community groups in carrying out inservice programming. Although such a move may appear at first to be a wise one—schools now can decide their own needs for staff development—the busy role of the school principal has just become even busier.

Trends toward decentralization of traditional central administrative functions are hard to predict, as is true of many issues facing current educators. Campbell, Cunningham, Nystrand, and Usdan (1990) noted that "issues emerge" in the analysis of central offices:

> The first of these has to do with centralization and decentralization. A consideration of this matter involves the relationship of the central office to each of the school sites. Should school sites be given much or little autonomy? Should help needed by teachers be placed in the central office or become a staff arrangement at each school site? There is also the question of which functions should be centralized and which decentralized. For instance, there may be more justification for centralizing business functions than instructional functions. Another consideration involves the competence of principals and teachers at the building sites. Competent staff at the sites require less supervision from the central office. Our judgment is that most large districts could and should move toward decentralization, providing they also move toward competent teachers and principals at the school sites. (p. 281)

It is quite likely that as you proceed through a career in educational administration, you may wish to leave a role as a principal or assistant principal, but you may not want to seek a superintendency.

At this point in your career as an aspiring school administrator, what are some of your long-term goals regarding the types of administrative positions that you wish to pursue?

Superintendents

The chief executive officer of school districts in the United States is the superintendent. As is the case with principals, considerable information is available to provide us with some understanding of the people who take on this role. We also have considerable insight into the nature of the work that people do in the superintendency. Having noted these facts, we are also aware that as we enter a new century, it is quite likely that fewer of you who are now reading this book as aspiring school administrators will express interest in taking on this important job in the future. At the conclusion of this chapter, I include some information about special issues and concerns facing the school superintendency in the United States, including why people are decreasingly likely to pursue the superintendency as a career goal.

Who Are Superintendents?

The majority of the more than 14,000 superintendents in the United States serve as employees of school boards in local school districts. In a few cases, they are elected by the citizens to serve as chief executive officers of school corporations. In a number of states in the southern United States, many local school district superintendents are elected officials. This may begin to change quickly in the foreseeable future, following the example set recently in Kentucky; the Kentucky School Reform Act of 1989 requires that all superintendents work as employees of citizens serving on boards of education. The feeling in that state, and perhaps many others to follow, is that electing school superintendents makes that critical educational role too sensitive to the corruptive influences of partisan politics. The critical issue is that across the United States, different methods are used to determine and select school superintendents.

How are superintendents chosen in your state?

Regardless of local statutes regulating the selection of school superintendents, some characteristics are typical of most people in this role in the United States. For example, not surprising, perhaps, may be that the majority of school superintendents are white males. This is starting to change slightly (since 1980, the percentage of women serving as superintendents has increased from 6% to nearly 11%), but a wide disparity still exists between those who run school systems and those who serve as teachers, parents, and citizens in general.

What Do Superintendents Do?

Superintendents do two primary things: (1) They provide districtwide leadership and coordination to all the schools and programs within the school system, and (2) they serve as the chief executive officer for the school district by interacting with, and giving counsel to the local board of education, as well as implementing the policies made by the board. Clearly, these responsibilities entail much daily work. The next section of this chapter reviews two different perspectives that may be helpful to you in appreciating the specific responsibilities that superintendents have in providing districtwide leadership.

Mintzberg's Framework

In 1973, Henry Mintzberg, a social scientist on the faculty at McGill University, published *The Nature of Managerial Work*. In it, he presented a framework that has had great significance in identifying the many parts of the world of school superintendents

Mintzberg noted that chief executives (of any organization—public or private) play out 10 different roles in three major groups of responsibilities: interpersonal, informational, and decisional. The list that follows includes the roles and their related categories, along with brief descriptions found in Mintzberg's work. Consider the kinds of job-related activities that school superintendents normally have, consistent with Mintzberg's suggestions (see Figure 4.1).

If anything, this list of activities carried out by superintendents may suggest the great complexity and variety of work associated with being a district administrator. One additional reality is that the preceding activities might

Figure 4.1 Managerial Roles

Role	Description
Interpersonal	
Figurehead	Symbolic head; obliged to perform a number of routine duties of a legal or social nature
Leader	Responsible for the motivation and activation of subordinates; responsible for staffing, training, and associated duties
Liaison	Maintains self-developed network of outside contacts and informers who provide favors and information
Informational	
Monitor	Seeks and receives wide variety of special information (much of it current) to develop thorough understanding of organization and environment; emerges as nerve center of internal and external information for the organization
Disseminator	Transmits information received from outsiders or from other subordinates to members of the organization; some information factual, some involving interpretation and integration of diverse value positions of organizational influencers
Spokesperson	Transmits information to outsiders on organization's plans, policies, actions, results, etc.; serves as expert on organization's industry
Decisional	
Entrepreneur	Searches organization and its environment for opportunities and initiates "improvement projects" to bring about change; supervises design of certain projects
Disturbance Handler	Responsible for corrective action when organization faces important, unexpected disturbances
Resources Allocator	Responsible for the allocation of organizational resources of all kinds—in effect the making or approval of all significant organizational decisions
Negotiator	Responsible for representing the organization at major negotiations

SOURCE: **The Nature of Managerial Work** (pp. 92-93) by H. Mintzberg, 1973, New York: Harper & Row. Copyright © 1973 by Henry Mintzberg. Adapted by permission of Harper & Row, Publishers, Inc.

all have been carried out in only one day on the job. Tomorrow may seem a repeat of the task areas but with very different specific acts.

On the basis of your current perceptions of superintendents for whom you have worked, which of the tasks identified by Mintzberg appear to be most frequently demonstrated?

AASA Guidelines

The American Association of School Administrators (AASA) is the national professional group that represents the needs and interests of school superintendents. About 8,000 district administrators currently belong to this association. For years, it has had a strong interest in seeking more effective ways to prepare and provide ongoing inservice to future and current superintendents. The result of this interest has been the creation of study groups to look into the kinds of critical skills needed by superintendents as a way to guide preservice preparation and ongoing inservice education.

John Hoyle, Fenwick English, and Betty Steffy (1985) served AASA by reviewing the superintendency and identifying the following skill areas and specific competencies that reflect the knowledge and skills needed by superintendents to perform their jobs effectively.

1. *Skills in designing, implementing, and evaluating school climate.* Without a work environment that is harmonious, a high degree of academic success is not likely. Some specific competencies needed to achieve this include:

- Human relations, organization development, and leadership skills
- Collaborative goal setting and action planning
- Skills in participatory management and the use of variations in staffing
- Climate assessment methods and skills
- Skills in improving the quality of relationships among staff and students to enhance learning
- Multicultural and ethnic understanding
- Group process, interpersonal communication, and motivation skills

2. *Skills in building support for schools.* Education in our society requires political and public support so that resources are available to carry out critical functions of effective schooling. Specific competencies in this area include:

- Developing and implementing school/community relations, coalition building, and public service activities
- Understanding and using politics of school governance and operation
- Understanding and using political strategies to pass bond, tax, and other referenda
- Developing lobbying, negotiating, collective bargaining, power, policy development, and policy maintenance skills to ensure successful educational programs
- Communicating and projecting an articulate position for educators
- Understanding the role and function of mass media in shaping opinions
- Understanding conflict mediation and developing the skills to accept or cope with inherent controversies

3. *Skills in developing school curriculum.* Leaders must demonstrate the ability to develop a systematic curriculum that provides for mastery of fundamental knowledge and skills as well as significant opportunities for enrichment. Specific competencies include:

- Ensuring continuity of instruction within a school and between schools in the same system
- Verifying that progressive skill development occurs with and among schools
- Maximizing the use of student time
- Enabling individual schools within the system to achieve their goals while also ensuring that attention is paid to matters of equity
- Leading effective long-term planning and forecasting efforts to determine future curriculum development projects

4. *Skills in instructional management.* The effective administrator must know how to lead efforts to implement the curriculum that has been developed. Specific competencies include skills in the following areas:

- Knowing about curriculum design and instructional delivery strategies
- Demonstrating expertise in instructional and motivational psychology
- Monitoring and evaluating student achievement
- Managing change to enhance the mastery of educational goals
- Applying computer management to the instructional program
- Using instructional time and resources effectively
- Understanding the concepts of cost effectiveness and program budgeting

5. *Skills in staff evaluation.* Leaders appreciate that staff evaluation is a process that improves the performance of individuals as well as the entire school system. Specific skills in this area involve:

- Determining the standards of evaluation
- Identifying who will do the evaluating
- Selecting instruments to be used in the evaluation of staff members
- Determining how the results of evaluation will be used
- Specifying the number of times people will be evaluated
- Identifying any appeal procedures to be followed in the event of disagreement over evaluation results

6. *Skills in staff development.* Leading a vital and effective school system requires developing staff members who are comfortable with taking risks, stretching, and engaging in change. Specific skills needed to do this include:

- Conducting system and staff members' needs assessment to identify areas for concentrated staff development and resource allocation for new personnel
- Using clinical supervision as a staff improvement and evaluation strategy
- Assessing individual and institutional sources of stress and developing methods for reducing that stress

7. *Skills in allocating resources.* School leaders must possess the skills to allocate human, material, and financial resources efficiently. Specific competencies are as follows:

- Budgeting, accounting, facilities planning, maintenance, and operation
- Financial planning and cash flow management
- Personnel administration
- Pupil personnel services and categorical programs
- Legal concepts, regulations, and codes for school operations
- Analytical techniques of management, including financial management

8. *Skills in educational research, evaluation, and planning.* Leaders need skills in conducting research and using research findings to improve program evaluation, long-range planning, school operations, and student learning. Four specific skills are as follows:

- Learning effective and proper research design and methods, including gathering, analyzing, and interpreting data
- Using descriptive and inferential statistics
- Using evaluation and planning/futures models and methods
- Selecting, administering, and interpreting evaluation instruments

As you review this list of competencies identified for effective performance as a superintendent, which areas concern you most at this point in your career?

One important word of caution must be added to the review of any list of administrative skills and competencies. Simply being able to do these things does not necessarily mean that a person will be effective in anything more than doing each of the individual items, for example, doing research effectively, balancing a budget, or using effective personnel management techniques. Superintendents are required to do these things, so this is a way to describe in general terms what superintendents do. But good leaders do much more. They also add a sense of integration to these individual tasks. And more important than perhaps anything else, they do these things with a vision of why they are important. There is a major difference between administrators who simply do the job and leaders who know why they do the job. Bennis and Nanus (1985) noted this distinction with an often-used expression: "Managers do things right; leaders do the right things."

Frustrations of Superintendents

Cunningham and Hentges (1982) looked at the superintendency in terms of the kinds of challenges or issues that were described by district administrators as most critical for them to face in the future. In turn, the administrators suggested that although these were critical issues, they were often frustrated that so little time existed in the lives of most superintendents to address these issues adequately.

Superintendents ranked the following challenges or issues from "most important" to "least important":

1. Financing schools
2. Planning and goal setting
3. Assessing educational outcomes
4. Accountability and credibility
5. Staff and administrator evaluation

6. Administrator/board relations
7. Special education
8. Obtaining timely and accurate information
9. Issues such as negotiations and strikes
10. Rapidly decreasing/increasing student enrollments
11. Greater visibility of the superintendent
12. Personal time management

Another way to interpret this list is to realize that each issue represents a set of responsibilities that practicing superintendents have identified as critical to their ability to function as the chief executive officers of their school systems. In this regard, rank orders are not important; that any item is included in the list means that it occupies the time and attention of a superintendent.

Special Issues Facing Superintendents

Special issues might face you if you proceed toward a career as a district administrator. These issues are a lack of job security, increasingly intrusive behavior by school boards, and a general increase of public pressure placed on the position. Another problem facing the superintendent is that fewer people are expressing an interest in seeking this important administrative post.

Lack of Security

Superintendents are often warned to "rent, don't buy" when they take a position. As a superintendent, you may not be staying put in any community for a very long time. This is particularly true in very small rural school systems and also in large urban districts. In both of these systems, the average length of service for a superintendent is now somewhat less than 4 years. In fact, in the largest 100 school systems in the United States, the average time spent by superintendents is now approximately 2.6 years. Although district administrators in both medium-sized districts and many suburban communities near the largest school districts enjoy longer periods of service, the lack of predictability and security in holding a position for many years is a special issue that faces school superintendents. This is true to a much greater degree for superintendents than for any other kind of school administrator (or professional educator) in this country.

Several factors contribute to this lack of security. Some are the product of local district conditions, and some are due to decisions made by the superintendents themselves. In terms of local school district conditions, superin-

tendents serve at the pleasure of school boards of education. They are subject to the interests, priorities, and goals of elected bodies that may, with little advance notice, change direction and priorities, depending on board members' perceptions of what voters want. More than any other person who works in a school system, the superintendent is in direct contact with school board members and their ideologies. If a superintendent is hired by a board whose majority is pushing for innovative program development and that majority changes to a more conservative, back-to-basics majority, the superintendent is likely to be viewed as someone with expertise, knowledge, or philosophical orientations different from the new district priorities. In other words, the person recently brought on board to be a breath of fresh air may now have too great a scent of previous political priorities.

Large urban systems are not the only ones to have rapid turnover of board members and board ideologies, but it is clear that such change is more likely to be more visible—and show up on the front pages of newspapers and on the late news—in larger districts. And new board members who seek to blame past practice (often part of the campaign strategy for board challengers) cannot necessarily find anyone more able to shoulder the "blame" of the past than the superintendent. Besides that, it is not possible to fire everyone who used to work in the school district.

Superintendents frequently lose their jobs simply because they are the victims of political processes. However, there are many other situations in which superintendents are not victims but active participants in the processes that result in their removal. Superintendents are often tempted to engage in partisan politics with certain board members, seeking their favor or support. This might be done with the best of intentions. On the other hand, when one plays at seeking special attention and support from one group within a political body, the consequences of "losing" will also be felt. Superintendents need to remain above the internal politics of the governing board. They serve the entire board of education, not only the members who support the superintendent's priorities on one issue or another. The superintendent is an employee of the school board in most cases. Ignoring this fact has its consequences in the loss of job security.

Intrusive School Board Behavior

Another area of special concern and attention for school superintendents is the broad area of relations with school boards. This is indeed an area that has become increasingly problematic for many district administrators. School board members should know that their job is to "make policy, not try to implement it." Nevertheless, superintendents express concern that individual board members try to exert special influence on the affairs of a school district. If such intrusive behavior truly impedes the work of a superintendent intent upon providing quality educational leadership, he or she will

have to make a personal decision regarding how far that interference will be tolerated. Many superintendents lose their jobs. The important thing to recall is that losing a job is less a problem if it is given up "for the right reasons," that is, based on matters of ethics, principles, and concern for what is right for the needs of the district students.

Increased Public Pressure

Along with increased interference by board members who seek special attention by the superintendent, the school district administrator of the present and future must also learn to deal as effectively as possible with numerous other demands made by the public regarding the operation of schools. Each day, newspapers are filled with letters to the editor, opinion columns, and news stories that describe how the public no longer seems to trust what is going on in public schools. As a result, there are charter schools, tuition voucher plans, schools of choice, and numerous proposals to reduce the need for public schools to operate as they have in the past. Some of these programs are built on the strong belief that parents ought to enjoy absolute choice over their children's education. On the other hand, many people now look at public schools as morally, ethically, and educationally bankrupt organizations that are no longer fulfilling their promise and responsibility to the citizens of this country. At the epicenter of much of that thought are those who run public schools, most visibly superintendents. As a result, one special issue faced by superintendents is that they will always be on the front lines of any and all public discussion over the need to improve schools—whether these perceptions are based on fact or not.

Decreased Interest Among Future Leaders

One final issue that deserves some comment as it relates to the school superintendency is that this educational role does not appear to be as appealing to as many individuals as it did in the recent past. Not many years ago, the natural long-term goal for anyone interested in pursuing a career in educational administration would likely be the superintendent's job. Now, however, there is increasing evidence that the job at the top of school systems is not perceived as positively as it used to be.

People are shying away from the job of the school superintendent for a number of reasons. Interviews with aspiring school administrators now in the classroom, along with practicing principals and other administrators who, like Kelly Marshall, may be considering the option of the superintendency at some time in the future, disclosed a number of issues associated with reduced interest in the superintendency:

- *Superintendents do not have much contact with teachers or students on a regular basis.* This is also often given as a reason why people do not want to pursue the principalship. The difference here, however, is that superintendents generally have no regular contact with life in individual schools—where the action is—with teachers and students. That isolation is a direct contradiction to why most people want to go into education in the first place.
- *Superintendents must work with school board members.* Given the nature of how U.S. public education works, with its emphasis on local, lay control of schools, it is unfortunate that many who do not have an interest in the superintendency would rather not work with a school board. But many educators realize that relations with boards of education are often filled with great frustration, as we noted earlier in this chapter. Many individuals simply do not want the hassle of having to deal with meddlesome and troublesome school board members.
- *Superintendents do little more than work with finance.* Most people go into education to teach and work with young people. They do not relish the idea of spending most of their time trying to find enough money to run schools or demonstrate the suitable use of limited funds that are available to schools.
- *Superintendents spend an incredible amount of time on the job.* Superintendents are rewarded financially well beyond the salaries of most other educators. They are also expected to spend huge amounts of time away from home and family. They must wake early each day for breakfast meetings, work during lunch, and then spend long hours at work during evenings and weekends. On nights when boards of education meet, superintendents frequently do not get home until well past midnight. And then they rise early for more breakfast meetings.
- *Superintendents must deal with teacher unions, collective bargaining, and potential labor actions.* Another part of the world of superintendents is in their service as chief representative of the board of education's interests (management) in labor negotiations, which often results in considerable strife with teachers and other district employees. And remember that most superintendents were teachers. This results in numerous confrontations between the superintendent-as-former-teacher with colleagues who are currently in the classroom.
- *Superintendents lack tenure and job security.* As the most visible person in a school district, the chief administrator is also the most vulnerable.
- *Superintendents are politicians, not educators.* The calendars of many superintendents show little contact with schools but much time spent with community groups, political bodies, and other groups that seemingly have little to do with the needs of children.

- *Superintendents have virtually no personal time.* Above all, the time of the superintendent belongs to others. Even when he or she is not engaged in official activities, personal time is often scarce as it becomes increasingly important to spend all available moments with family. The net result is that the superintendent has little time for his or her personal interests. Playing a round of golf, watching television, going to a movie, or reading a book all become nearly impossible activities.

Given all these negative perceptions of the superintendency, it is remarkable that anyone would still be interested in this very difficult job. But many talented and capable educators have looked beyond the negative features of the role and have identified other aspects of district administration that make this job much more appealing:

- *Superintendents are well paid and enjoy good fringe benefits.* A school superintendent does not make what a CEO in private business does, but rewards for district administrator are considerably beyond what other educators earn.
- *Superintendents can have an impact on an entire system.* Teachers can help students one class at a time; superintendents can have an impact on the lives of hundreds, or thousands, of students at once.
- *Superintendents enjoy considerable community visibility and prestige.* Although some view it as a negative, superintendents are rarely invisible in their communities. And, many see positive aspects to being well known by most people in the community.
- *Superintendents are rarely bored.* No two days are alike for school district administrators. This is true in huge urban districts and even the smallest rural systems.
- *Superintendents are able to have continual long-term impact on the quality of student learning.* By being directly involved in the policy making and policy implementation process, superintendents have direct access to making certain that student needs remain at the center of what goes on in the school system.

Not surprisingly, the issues that some see as negative features of the superintendency are viewed positively by others. For example, although many people do not enjoy political behavior as a job requirement, others actively seek such opportunities in their personal and professional lives. You may be interested in reviewing your own perceptions of the best and worst aspects of the school superintendency by completing the Superintendent's Job Characteristics Survey (Figure 4.2).

Figure 4.1 Superintendent's Job Characteristics Survey

DIRECTIONS: For each of the items below, please indicate the extent to which it would serve as a reason for you to decide **NOT** to be interested in becoming a superintendent of schools at some point in your career as a school administrator. In rating each item, please refer to the following scale.

5 = Extremely Critical
4 = Critical
3 = Somewhat Important
2 = Not Critical
1 = Irrelevant

Item	Rating
1. Lack of contact with students and teachers on a regular basis	5 4 3 2 1
2. Need to work with the school board	5 4 3 2 1
3. Involvement with community groups	5 4 3 2 1
4. Evening meetings and other commitments	5 4 3 2 1
5. Collective negotiations and labor relations	5 4 3 2 1
6. Amount of time involved with financial management	5 4 3 2 1
7. Need to engage in political activities and work with pressure groups	5 4 3 2 1
8. Lack of tenure and job security	5 4 3 2 1
9. Financial rewards	5 4 3 2 1
10. Impact on family life	5 4 3 2 1
11. Involvement with long-term planning and policy formulation	5 4 3 2 1
12. Dealing with teacher activism and unions	5 4 3 2 1
13. High profile in the community	5 4 3 2 1
14. Mediating among multiple conflicting orientations	5 4 3 2 1
15. Lack of personal time	5 4 3 2 1

DIRECTIONS: Please rate the extent to which each of the following factors would influence you in making a decision to **become a superintendent** at some point in your career as an educational administrator.

16. Salary and fringe benefits	5 4 3 2 1
17. Ability to impact the activities of a total school district	5 4 3 2 1
18. Opportunity to work with community groups	5 4 3 2 1

19. Prestige	5 4 3 2 1
20. Having a visible and central role in the community	5 4 3 2 1
21. Ability to be directly involved in important policy formulation	5 4 3 2 1
22. Negotiations and bargaining	5 4 3 2 1
23. Ability to exercise power and control over organizations	5 4 3 2 1
24. Opportunity to provide security and community recognition for family	5 4 3 2 1
25. Excitement of political dealings with community and other groups	5 4 3 2 1
26. Working effectively with adults rather than children as primary clients	5 4 3 2 1
27. Lack of boredom, constant challenges, and a busy schedule	5 4 3 2 1
28. Direct contact with a board of education	5 4 3 2 1
29. Serving as a chief executive officer	5 4 3 2 1
30. Ability to have a long-term impact on student learning	5 4 3 2 1

Copyright © 2001 by Corwin Press, Inc. All rights reserved. Reprinted from *What It Means to Be a Principal* by J. C. Daresh. Reproduction authorized only for the local school site that has purchased this book.

Summary

In this chapter, we considered the nature of school administrative jobs at the district level of organization. Serving as a central office administrator or superintendent of schools may not be your immediate goal as an educational leader, but it is quite likely that at some point in your career, you will be able to consider a move from building administration into work at the district level.

As a result, I began by pointing out that many people serve school systems through work as central office administrators but not necessarily as superintendents. Certain generalizations could be made about these jobs, but comparing central office administrative posts from one school district to another is extremely difficult, because not all school systems define such positions similarly. Regardless of the position, however, individuals who work at this level tend to be administrative specialists rather than generalists, and a growing trend across the United States to reduce the number of nonteaching staff members will likely make such positions increasingly difficult to find in the future.

By contrast, the superintendency is an educational leadership role that will not disappear, although future reductions in the number of school districts across the United States may mean a decrease in superintendencies in the future. But school systems will continue to need individuals to play the difficult role of chief executive officers. The basic characteristics of the superintendency were given, as were some of the responsibilities required of individuals who fulfill this role. The chapter concluded by looking at some unique features and issues faced by district administrators.

Suggested Activities

1. Interview two or three practicing superintendents of school systems. Ask each person to describe what they believe are the *best* features of their job and also the *most frustrating* tasks they are called on to do. What generalizations might you make about the role based on these comments?

2. Select a handful of district office administrators who are not superintendents and interview them as you did in Item 1 above.

3. Make copies of the Superintendent's Job Characteristics Survey (Figure 4.2). Distribute it to a group of classroom teachers who have expressed an interest in going into administration some day. What are the findings, based on the group data? Interview a few respondents at random to gain further insight into how they completed the survey.

4. Carry out the same exercise as in Item 3 above with a group of current principals to determine their perceptions of the superintendency.

5. Interview board presidents from two or three different school districts to determine their perceptions of how superintendents ought to work with their school boards. Be careful to note that you are not asking people to evaluate their current superintendent but rather to speak in general terms about how superintendents in general should respond to school boards.

Additional Readings

Blumberg, A. (1985). *The school superintendent: Living with conflict.* New York: Teachers College Press.

Callahan, R. E. (1962). *Education and the cult of efficiency.* Chicago: University of Chicago Press.

Carlson, R. (1971). *School superintendents: Careers and performance.* Columbus, OH: Merrill.

Cuban, L. (1976). *Urban school chiefs under fire.* Chicago: University of Chicago Press.

Davidson, J. (1987). *The superintendency: Leadership for effective schools.* Jackson, MS: Kelwyn.

Willower, D., & Fraser, H. (1979). School superintendents and their work. *Administrator's Notebook, 28,* 5.

5

Differing Views of Administration

When Kelly Marshall first heard that she would be a new principal, she called Mr. Williams, her predecessor, and asked if she could spend a day visiting the school where she would serve as the administrator the next fall. Mr. Williams, a principal with more than 20 years of administrative experience in the system, was retiring, and he was happy to let the rookie come over and see her new school.

Kelly spent a full day with Mr. Williams and had a good chance to meet many teachers, classified staff, and two parents who were to be officers in the PTA. She also had a chance to walk around the building on her own and observe how things operated. She saw how teachers worked with pupils, how parents were treated when they came into the building, and how Mr. Williams interacted with everyone. She saw numerous signs, posters, and slogans around the building, all of which suggested that "a happy school is a good school." Every person, place, and thing she saw told her that she was inheriting a school where how people felt about themselves and others was of key importance.

It was a happy and pleasant school in many ways. But the new principal was also aware that the district superintendent was not entirely pleased with Mr. Williams's school. During a few private conversations with Kelly, he expressed his frustration over disappointingly low scores at the school on the recent statewide basic skills achievement test. The superintendent knew that people were happy, but he wanted results.

As Kelly drove home from her day at her new school, she was a bit frustrated. She knew what her boss wanted, but she also knew what the people in her new school were accustomed to in terms of administrative behaviors and expectations. And she knew what she hoped to do the next year. There were certainly a lot of potential conflicts in the future.

* * *

The reason that organizations employ administrators is to make certain that the organization is successful in achieving its goals and objectives. As a result, in some ways it makes little difference what the goals happen to be. The administrator is supposed to "get things done," regardless of what the "things" are. The administrator is responsible for planning, organizing, conducting, budgeting, evaluating, and overseeing a variety of activities that are necessary to ensure that the organization operates efficiently and effectively on a daily basis.

Being an effective administrator is a complex task. But it can be accomplished in a number of ways. This chapter looks at a number of different management or administrative perspectives that have been assumed by individuals in charge of getting things done over the years. As you look at each of these perspectives, you may find some approaches more appealing or more consistent with your personal educational platform. However, it is important to recognize that effective administrators possess an array of alternative managerial philosophies. Mr. Williams, Kelly Marshall, and the district superintendent can all have different ways of doing their jobs, but each person can be effective in his or her own way.

Alternative Historical Perspectives

One way to develop an understanding of the different ways people look at the issue of management or administration is by reviewing historical trends. Throughout the history of U.S. education, several different perspectives on how the oversight and guidance of schools ought to be carried out have emerged, and these are reviewed later in this chapter. One word of caution before beginning, however, is that these perspectives are presented as if they were isolated and connected only to specific historical moments. For example, the *administrative inspection* era is identified as something that was less prevalent after the Civil War. However, this philosophy or orientation to management is still in place in many cases today. I provide historical timelines only as a way to suggest the development of trends, not to say that a way of thinking is limited to certain time period.

Administrative Inspection

Managing schools and supervising teaching in U.S. education is as old as the history of formal education in this country. In fact, the year 1642, when the first Massachusetts School Law was enacted, also marks the beginning of educational administration and supervision in U.S. schools. The first era in administrative development lasted until approximately the conclusion of the Civil War in 1865.

During these years, administrators were primarily engaged in inspection, an approach based on the assumption that an educational administrator's job was to find out all the things teachers were doing wrong in their classrooms. This description may seem rather harsh, but we need to recall some historical facts before judging 17th- and 18th-century educators as insensitive ogres who lacked compassion or respect for teachers. During the earliest days of U.S. education, teachers often were not well educated and frequently stayed only a step or two ahead of their students in basic skills. Teachers in those years often needed monitoring to make certain that minimally acceptable levels of performance were being maintained in their classrooms and schools. It is important to note, too, that administrators of education were typically not educators themselves. They did not come up through the ranks as school administrators do today. Rather, they tended to be local civic and religious leaders who, because they were reasonably well educated themselves (often in schools overseas), were given the social responsibility of taking care of the local public schools. This era, then, did not include many of the administrative roles and structures we are now familiar with. Instead, "educational administration" was better understood as formal administration of schools. It is interesting to note the number of the underlying assumptions from this era that still touch our schools.

That first stage of formal administrative practice can be further subdivided into two distinct eras: religious control and a more secular involvement. The first years of public education were characterized, particularly in the New England colonies, by the assumption that local religious beliefs and values should be both preserved and transmitted from one generation to another. The administration and supervision were defined largely in terms determined and accepted by religious leaders. The Massachusetts Bay Company (Law of 1642) provides the earliest known description of educational administration:

> This Court, taking into consideration the great neglect of many parents and masters in training of their children in learning and labor, and other implements which may be profitable to the common wealth, do hereupon order and decree, that in every town ye chosen men appointed for managing the prudential affairs of the same shall henceforth stand charged with the redress of this evil . . . and for this end, they, or the greatest number of them, shall have the power to take into account from time to time of all parents and masters, and of their children, especially of their ability to read and understand the principles of religion and the capital laws of this country. (Shurtleff, 1853)

These chosen men were typically ordained ministers or elders in local congregations—an understandable phenomenon in light of the fact that the teaching and learning they reviewed were tied directly to matters of religion. If students were not learning how to read the Bible, their paths to eternal

salvation were blocked, because they would never be able to gain insight into the Scriptures and to learn about their God.

After the American Revolution, the duty of monitoring classroom procedures and school practice was increasingly entrusted to committees of laypeople who were not associated with any specific religious group. This switch no doubt occurred as part of the general secularization of society taking place at this time. As the years went on, school officials placed less emphasis on the supervisor's responsibility to oversee the quality of secular instruction. What remained constant, however, was the assumption that teachers lacked basic competency. Two popular definitions from the time illustrate this shift in focus. As Theodore Dwight and James Wickerman (1835) noted,

> Visitation and careful examination are necessary to discover the teacher's merits in teaching and governing the attention, deserts, and improvements of the children. To render a teacher, in the first place, to convince him that he can, are the principal objects to be offered by a friend of education. (Dwight, p. 21)

> Such visitations [by administrators] are necessary to secure the caretaking of the grounds, furniture, and apparatus; necessary to secure the most rapid progress on the part of the pupils; necessary to encourage competent teachers and to detect incompetent ones; in short, necessary to ensure the well-working of the whole school machinery. (Wickerman, p. 9)

Notice how, in the second definition, there is an expansion of the administrator's responsibilities to include much more than attention to teacher practices in classrooms. Here, the notion of inspection is expanded to include duties related to buildings and grounds.

As the above selections suggest, the religious orientation in educational administrative practice had given way to a more worldly and secular view by the mid-19th century. On the other hand, these definitions continue to demonstrate some striking similarities in administrative practice derived from a common set of assumptions held by educators throughout the early days of this country.

Assumptions and Related Practices

Teachers were not to be trusted. Perhaps the most basic premise of the earliest descriptions of administrative practice was simply that teachers were, for the most part, incompetents who could not be trusted to do their assigned jobs. At first, this assumption suggested a lack of trust in teachers' abilities to

provide instruction in religion. The administrator's responsibility was to be present in classes as often as possible to guard against the spread of any religious heresy, either intentional or unintentional. Instruction was monitored closely not so much to guarantee proper methods of teaching but rather to make certain that proper interpretation of the Bible was maintained. Even when this religious focus became blurred and finally disappeared, however, teachers were still viewed as essentially incompetent employees who needed to be carefully watched.

Administrators had the right to intervene directly in the classroom. During both stages of these early years, administrators often engaged in activities that were descriptive in their own right; they deliberately tried to catch teachers in the act of making mistakes. Administrators made frequent, usually unannounced classroom visits, often intimidating even the most confident or competent of instructors. Administrators of the time often entered a classroom while a lesson was in progress and then openly and defiantly debated with a teacher about the accuracy of the information he or she was imparting.

Administrators were meant to be inspectors. Administrators were expected not only to monitor instructional processes and correct incompetent teachers in the midst of leading their classes, but they were also expected to review the characteristics of the total school not as consultants or facilitators but solely as inspectors. They performed functions such as overseeing the upkeep of school buildings, instructional materials, and equipment. They were supposed to make sure, for example, that the schoolhouse roof did not leak, that the fire in the stove was well stoked, and that there were sufficient slates and benches for all the pupils.

Have you ever been in a work environment (school or nonschool) where the prevailing managerial philosophy was that of *administrative inspection?* What were some of the shortcomings of this approach? What about strengths? Under what conditions would it be desirable to make use of this philosophy of administration?

Scientific Management

The period after the Civil War through the turn of the 20th century was a time of massive change and progress in U.S. society. Characteristics of the era included greater emphasis on industrialization and a definite move toward urbanization. These features had a terrific impact on school practices and management in general. For example, as we saw in Chapter 3, this was the time during which the role of the formal educational administrator became a regular feature of most U.S. schools and districts. In education, it was a time when teaching procedures and practices in general were greatly influenced by experts whose interest was primarily the improvement of organizational efficiency. William Payne (1875), often recognized as one of the first scholars of educational administration, set the stage for employing scientific management principles with the following definition, which reflected the notion of precision and certainty of performance in schools:

> The theory . . . requires the superintendent to work upon the school through teachers. He is to prepare plans of instruction and discipline, which the teachers must carry into effect; but the successful working out of such a scheme requires constant oversights and constant readjustments. (p. 4)

This view suggests that there is a right way of doing things in education, and that once this path is identified, it is the administrator's responsibility to ensure that teachers know and follow it. The administrator is also charged with the responsibility of planning—that is, of finding the most efficient and economical ways to attain organizational goals.

The views of various writers on corporate management, particularly Frederick W. Taylor (1916), whose scientific management principles were advocated as the way to ensure good practice in industrial organizations, also affected the beliefs of educators. A review of Taylor's major tenets provides a context for our discussion of this second period of administrative thought and practice. Raymond Villers (1960, p. 78) outlined the essential points of Taylor's views:

- *Time-study principle.* All productive effort should be measured by accurate time study and a standard time established for all work done in the shop.
- *Piece-rate principle.* Wages should be proportional to output and their rates based on the standards determined by time study. As a corollary, a worker should be given the highest grade of work of which he is capable.
- *Separation-of-planning-from-performance principle.* Management should take over from workers the responsibility for planning the work and making the performance physically possible. Planning should be bas-

on time studies and other data related to production, which are scientifically determined and systematically classified: it should be facilitated by standardization of tools, implements, and methods.

- *Scientific methods-of-work principle.* Management should take over from workers the responsibility for their methods of work, determine scientifically the best methods, and train the workers accordingly.
- *Management-control principle.* Managers should be trained and taught to apply scientific principles of management and control (such as management by exception and comparison with validated production standards).
- *Functional principle.* The strict application of military principles should be reconsidered, and their industrial organization should be so designed that it serves the purpose of improving the coordination of activities among the specialists.

These principles of scientific management imply that certain features of organizational life are so predictable that specific laws can be formulated to guide behavior in virtually every circumstance. Thus, in both educational and corporate views of administration during this period, the belief reigned that behavioral formulas, when faithfully followed, would necessarily and automatically lead to predictable outcomes and products.

Assumptions and Related Practices

Great faith was placed in educational laws. Organizations throughout society were awakening to the possibility that rules and principles derived from research could be established to guide practice. School administrators in particular were open to this line of thinking, because at this time, a variety of problems were emerging from over two centuries of rather confused development. The notion that the educational practices of the past could be understood and even improved if some key facts and laws were learned was indeed tempting.

The outcome of this view, in terms of administraion, was that, increasingly, the educational administrator became a reviewer who checked to see if employees conformed to procedures that were determined and handed down by experts. The administrator's job was to make sure that the scientific rules of schooling were being followed. Thus, the emphasis in administration was on the maintenance of acceptable school practice and particularly on ensuring that this was carried out efficiently.

The administrative staff of a school system would determine the proper methods of administration. This scientific approach to administration emphasized a top-down orientation to defining and communicating information concerning instructional practices, and the administrative personnel of a school or district

became the legitimate experts. Scientific management principles urging separation of management from employee control made unthinkable the possibility that teachers might work together to influence or define proper performance. Quite simply, teachers were viewed as the implementers of administrative policy.

To summarize, the overriding aim of educational administration as it was practiced during this era was to develop efficiency. Standards used in the assessment of this outcome were set at a higher level of a school district organization and then transmitted downward throughout the school system. Managers made policies and decisions; teachers carried out those policies and decisions.

Have you ever worked in a setting where the prevailing administrative philosophy was that of *scientific management*? What were some of the behaviors and practices you experienced in that environment?

Emphasis on Human Relations

One consequence of the scientific management era was the tendency to value organizational goals more than the interests and needs of the people who worked in the organization. Scientific management often emphasized the notion that all organizational components—employees included—were best understood as replacement parts. "One teacher is as good as another" could have been a motto of the time. Predictably, a vigorous reactive movement eventually emerged. In the human relations era (approximately 1920 to 1960), an administrative philosophy that focused on the needs of individuals who worked in schools and emphasized satisfying their personal interests took root. Widespread support developed for cooperative group efforts as both an end and a means for change in schools.

Administrators were encouraged to use every means possible to stimulate and encourage employees. There was a major shift philosophically from previous managerial philosophies in the sense that there was a strong effort to encourage employees to work together to define organizational goals and

to create appropriate activities to meet the goals. The top-down emphasis of the past gave way to a much more democratic process.

Clearly, there is a great difference between the perspectives of this human development era and those of the administrative inspection and scientific management eras. In the first two centuries of U.S. education, very little concern was expressed about the individual needs of teachers and others in school systems. After the human relations era began, there was a dramatic shift from things to people.

Assumptions and Related Practices

If people are happy, they will be productive. This is the fundamental premise of this era, and it is the key ingredient of any approach to administrative practice that endorses the fulfillment of human needs. If happy employees are better, more effective employees, the administrators must focus on the needs and interests of the workers. Thus, educational administrators would need to spend a good deal of time seeking input from teachers and staff members concerning working conditions and other issues related to the quality of life in the organization. Administrators would emphasize discussion groups, shared decision-making activities, and group process development.

The improvement of the psychosocial climate of the school is a legitimate concern of administrators. The human relations movement, as it emerged during the 1920s and 1930s, was heavily influenced by the research and theory bases that were increasingly popular in the social sciences. During this time, the overall tenor of administration was altered; it became acceptable for educational leaders to expend energy toward effecting positive feelings within an organization. Previously, only the measurable outcomes of organizations were considered to be the legitimate concerns of administrators.

The administrator was a facilitator, not a manager. Whether it was a conscious modification or not is unclear, but during this period, the formal role of the administrator changed drastically from that of an authority figure to that of a process helper and consultant. In contrast with earlier periods, when administrators were either inspectors or efficiency experts, school administrators now became facilitators. The prevailing philosophical orientation of the human relations approach was that teachers and other workers needed supportive people to help them with their jobs.

Have you ever worked where *human relations* management was practiced? If so, what were some specific behaviors that you saw? How effective was this approach to administration, in your judgment? What were some of the limitations of this approach?

Current Perspectives

Administrative thought and practice today in some ways result from all three earlier perspectives, but in many ways they bear no resemblance to any of them. Some educators now lean toward practices that stem from the earlier administrative inspection and scientific management philosophies; others have expanded the concept of human relations to develop an approach often referred to as human resource development. In recent years, there has been a great interest in concepts associated with client-driven managerial behavior (giving a high priority to keeping the customer happy) and a commitment to quality. In the remainder of this chapter, I will discuss these emerging concepts to provide you with additional visions of management as a way to enhance your personal thinking about this topic.

Return to Administrative Inspection

You would not expect a school administrator today to openly suggest that most teachers and other employees in their schools or districts are incompetent. Yet, this managerial approach persists, frequently veiled in such jargon as "getting tough with those teachers who aren't performing." This kind of rhetoric can lead to a climate in which everyone begins to feel threatened and administrators feel compelled to look for the worst rather than the best characteristics of their staffs.

The increasing emphasis on statewide tests of student achievement, competency tests for teachers, and other similar practices now required in many states and local school districts are very real manifestations of this approach. Clearly, the unstated belief behind the calls for such testing is that some teachers—an undetermined number—are doing a poor job and that these ineffective individuals must be weeded out from the ranks of public school teachers. Or schools are so ineffective that some form of massive standardized testing must be carried out to determine which schools are competent and which ones are not.

Intensive oversight by managers may sometimes be needed. In some school systems, teacher incompetence or student lack of achievement is so bad that administrators legitimately ought to engage in inspection practices. As was true in the 18th and 19th centuries, administrative personnel may at times be called on to behave as if they have a lack of trust and confidence in teachers and other staff members. Although such an approach is perhaps not highly desirable as a frequent practice, it may be that collaborative relationships and teacher empowerment by administrators is not always be merited.

Return to Scientific Management

Blind faith in the certainty that scientific laws can guide educational practice is by no means dead and buried. The pontificators of scientific management, such as Frederick Taylor, may seem to be foolish today, but many educators continue to believe that educational practice may be understood according to predictable relationships among predictable variables. If we know how to mix chemicals to produce compounds in lifesaving medicines, why can't we know exactly which ingredients should be mixed to form children who can read, write, and cipher?

The press for a return to scientific management in education comes from many sources. School boards—whose members often have strong ties to the world of private business still heavily influenced by the heritage of scientific management—wonder why educators do things so inefficiently, whereas those in the private sector effectively change raw materials into finished products. There is a great desire to find predictability in educational practice. The number of products becomes an indicator of organizational effectiveness, and the assumption is often made that more is better.

Educational administrators who agree with the assumptions of this approach would probably attempt to produce more visible signs of productiveness in their schools, possibly in the form of higher scores on standardized achievement tests.

Human Resource Development

Rather than an outright return to human relations management, proponents of this approach have incorporated the basic assumption of human relations (namely that people in the organization hold the key to more effective performance) into a variation known as *human resource development*. This approach has dominated the literature of the past 20 years.

As its name implies, human resource development suggests that the most important activity of the administrator is to help people within the organization—human resources—become as skillful and effective as possible. The organization will be improved because its most important features—employees—will be more effective.

There is a good deal of overlap between human relations and human resource development. Both approaches place tremendous emphasis on the needs of the people who work in an organization, and both views hold that organizational effectiveness is a desirable outcome of intervention by an administrator. In addition, both views suggest that the key to organizational effectiveness is the extent to which workers can feel satisfied in their jobs.

Some important differences, however, keep human resource development from being a mere rehash of the earlier concept. Human relations advocates believed that emphasizing the happiness of an organization's employees would almost automatically guarantee that those employees would work harder, thereby increasing the overall effectiveness and productivity of the organization—"Happy people are productive people." The principal duty of the administrator, then, would be to guarantee that workers are content and satisfied with the workplace and would therefore want to work harder. In school settings, the administrator might ensure that teachers and other staff members had what they wanted in terms of supplies and equipment and that they were reasonably satisfied with how they were being treated. By contrast, the human resource development approach assumes that employees will be happier, more satisfied, and ultimately more productive only if they are first satisfied through working in a productive organization—"Happy employees are productive employees if they work in a productive place." Thus, the administrator becomes primarily interested in bringing about greater organizational effectiveness, thereby creating a setting where employees can feel satisfied through their association with productivity. In many ways, human resource administration is an outcome of the human relations movement. The key distinction is in the emphasis selected by the administrator.

Proponents of human resource development criticize the earlier human relations perspective as highly manipulative, because it assumed that an administrator could be nice to employees and thereby make them buy into organizational goals without hesitation. Human relations believers, on the other hand, suggest that because of its emphasis on organizational productivity, human resource development is but a thinly disguised return to scientific management. The real distinction seems to be more subtle, however. In human relations management, organizational effectiveness is a by-product of satisfying people's needs immediately. People tend to be comfortable in a human relations environment. The human resource development advocates claim that people will eventually be happy if the organization is productive (even though the immediate impression may be that the administrator is ignoring individual needs) and that the results will be longer lasting. In fact, meeting the needs of employees is a long-term goal for human resource development administrators, who believe that immediate energy needs to be directed toward organizational effectiveness.

Client-Based Management and Total Quality Management

If there is any single movement that epitomizes management philosophy development in the past 10 years, it is the concept of total quality management (TQM), sometimes described in the literature as emphasizing the development of organizational plans and priorities directed toward increasing the sense of satisfaction felt by those who are the clients or customers of organizations. In other words, when the external environment perceives that it is satisfied with what happens within an organization, then the organization is, in fact, effective.

Focusing on the need to engage in absolute dedication to customer satisfaction is only part of the philosophy of TQM. Dan Ciampa (1992) noted that TQM is directed toward producing results which fall into the following four categories:

1. *Customers are intensely loyal.* They are more than satisfied because their needs are being met and their expectations are being exceeded.
2. *The time needed to respond to problems, needs, and opportunities is minimized.* Costs are also minimized by eliminating or minimizing tasks that do not add value. Moreover, they are minimized in such a way that the quality of goods or services given to the customer and the way the customer is treated are enhanced.
3. *A climate is put in place that supports and encourages teamwork* and leads to more satisfying, motivating, and meaningful work for employees.
4. *There is a general ethic of continuous improvement.* In addition, there is a methodology that employees understand for attaining a state of continuous improvement. (p. 7)

These basic assumptions of structuring organizations to reflect a commitment to the needs of clients and total quality are drawn from the earlier work by W. Edwards Deming. Deming, prepared academically to be a physicist, achieved most of his fame for being largely responsible for the rebirth of Japanese industry after World War II. He was recruited by the Supreme Command for Allied Powers in 1947 to join a team of individuals working with Japanese officials in planning for programs that would bring about national stability after the massive destruction brought on by war. Deming noted that a complete redefinition of how people viewed organizational roles and relations would be needed to rebuild the national economy. In short, Deming realized that his role was to foster a new way of thinking about management, perhaps even more important than finding new ways to manage.

The result of this initial effort to promote restructuring of the Japanese managerial culture has been the identification of Fourteen Points (Walton,

1986) for effective practice, which seem to define Deming's conceptualization of a more effective way organizations might operate:

Point 1. *Create constancy of purpose for improvement of product and service.* Effective organizations do not simply try to earn a lot of short-term success through immediate increases in profits; rather, they promote long-term success by focusing on organizational maintenance through promoting (and funding) innovation, research, constant improvement, and maintenance.

Point 2. *Adopt the new philosophy.* This new philosophy must be one of intolerance toward poor service and complacency. The goal must be one in which mistakes and negativism are unacceptable.

Point 3. *Cease dependence on mass inspection.* The identification of problems in manufactured products implies that the system of production is designed so that flaws are acceptable. As a result, designing a system dedicated in total to the elimination of errors is more effective than one that is designed to inspect and seek errors as production occurs.

Point 4. *End the practice of awarding business on price tag alone.* Selecting products solely on the basis of lowest cost is shortsighted. This often leads to selecting products of low quality—"You get what you pay for."

Point 5. *Improve constantly and forever the system of production and service.* Management is obligated to continually look for ways to reduce waste and improve quality.

Point 6. *Institute training.* It is irrational to expect that people would be able to do their jobs if they were not properly prepared.

Point 7. *Institute leadership.* Leadership consists of helping people do a better job and of learning by objective methods to determine who needs to receive individualized help.

Point 8. *Drive out fear.* It is wrong to make mistakes, but it is also a mistake to develop a culture in which people believe that it is impossible to try without always achieving immediate success.

Point 9. *Break down barriers between staff areas.* Collaboration, not competition, among work groups is the key to success.

Point 10. *Eliminate slogans, exhortations, and targets for the workforce.* The "rah-rah" spirit shown in old movies about great coaches never really helped teams win. Only the skills of individuals did any good. Effective leaders recognize this fact and downplay the reliance on slogans or other grandstand efforts to promote "spirit" and "a winning attitude."

Point 11. *Eliminate numerical quotas.* Quotas promote the achievement of numerical goals, which are simply symbols of reality. They do not enhance quality. The effective organization seeks quality, not symbols.

Point 12. *Remove barriers to pride of workmanship.* The fundamental belief is that people really want to do a good job.

Point 13. *Institute a vigorous program of education and retraining.* The only way in which an organization will grow and prosper is if the people who make up the organization continue to grow and learn.

Point 14. *Take action to accomplish the transformation.* People in the organization must function as a team at all times.

In addition to these Fourteen Points associated with effective organizations, Deming also noted what he referred to as the Seven Deadly Diseases of Organizations that must be addressed:

1. Lack of constancy of purpose
2. Emphasis on short-term profits
3. Evaluation by performance, merit rating, or annual review of performance
4. Mobility of management (i.e., leaders are moved frequently without reason)
5. Running a company on visible figures alone
6. Excessive medical costs
7. Excessive costs of warranty, fueled by lawyers who work on a contingency basis

As one reflects on the vision of proper administration suggested by this emphasis on TQM and the needs of customers, it becomes clear that certain practices are exhibited by those who adhere to this approach. For example, top-down management is no longer valid nor is any effort to use immediate and visible indicators of effectiveness. As a result, in school settings, it becomes increasingly difficult to manage successful practice that is identified solely in terms of increases in student achievement scores.

There is little doubt that school administrators in recent years have been inundated with proposals to improve schools by adopting principles of TQM. The pages of professional journals are filled with stories about how to apply TQM to schools, and dozens of special training sessions are sponsored at professional association meetings each year to describe how to make schools more responsive to clients. There is a bewildering array of terms and programs that appear to offer effective strategies for schools to make use of the fundamental principles of Deming's work. Consequently, programs

such as site-based management (or collaborative decision making, school-based management, school-based decision making, or any one of a number of similar popular terms) and the ever elusive concept of "Outcomes-Based Education" litter the scene as proposed strategies to make school management more consistent with effective practice suggested by reformers.

I doubt that there will be an immediate end to the attempt by school administrators (and managers in many other organizations) to apply TQM principles and techniques. I am also equally unsure about whether or not this trend will continue into the future and form another major approach to management philosophy in the same way that scientific management and human relations has. A review of the various descriptions of TQM and customer-driven management shows at least four areas in which there may be some inconsistencies between this popular perspective and the reality of schools.

- TQM, above all, is not a specific strategy for managing; it is, rather, an overall philosophical orientation to the ways in which organizations and people interact. TQM holds that people are to be heard, valued, respected, and viewed with a degree of importance. This perspective may be novel in many industrial and manufacturing organizations in which the historical goals have been to turn out more product at any cost. By contrast, schools (and school personnel) have typically held a much different set of values concerning their societal roles and responsibilities. Simply stated, school people already view the satisfaction of human needs as central to their vision. As a result, the central belief of TQM is one that has been familiar to most educators for many years.
- The identification of customers and clients is central to TQM. If one cannot specify who the customers of an organization are, how can one develop a set of organizational activities and procedures to meet their needs? In the case of schools, the identification of customers is not a simple task. Are primary clients the pupils? Parents? Teachers? Taxpayers? State legislators? All of the above or none of the above?
- TQM simply does not fit the reality of public schools (or perhaps most other not-for-profit organizations) in many cases. For example, Deming's Points 4 ("End the practice of awarding business on price tag alone") and 11 ("Eliminate numerical quotas") are consistent with the wishes of many educators. Yet they are unrealistic in today's climate, which seems to be constantly seeking ways to force public agencies to become more cost-effective and efficient. Is it likely that many school systems would be able to ignore lowest bidder provisions when purchasing materials?
- Many undefined (or at least ill-defined) concepts and practices are associated with TQM. As a result, a philosophical orientation that has powers for some might become so open to interpretation by others that its individual concepts become virtually meaningless. Deming is often

credited with stating that effective organizations are those that downplay administration and replace it with leadership, implying that management cannot be viewed as an act of leadership.

TQM and attention to customer needs have many benefits in assisting educational leaders to improve practice. It is not clear that this perspective is sufficiently articulated at present to make it an enduring or a very useful concept.

As you review the emerging perspectives of management and administration described here, what approaches do you see in schools today? What are some of the strengths and limitations of each current model?

Summary

At the center of an administrator's educational platform must be a personal appreciation of what administrators do or at least your own perception of what constitutes the way people ought to approach management or administrative tasks. The purpose of this chapter was to provide you with a review of several past and present perspectives on the appropriate ways for leaders to behave. Although the presentation of these perspectives was done in a way to suggest that they might be viewed through a historical progression, there is nothing absolute about that framework. There are people who practice administrative inspection and scientific management at the beginning of the 21st century, and there were undoubtedly human relations practitioners in the Massachusetts Bay Company.

Although some perspectives may be less or more appealing, it is critical for administrators to recall two things: (1) Other administrators can have wholly different views of "correct administrative" philosophies from yours and still be effective, and (2) even more important, you will be viewed as considerably more effective in your role if you are viewed as authentic and if you adhere to a discernible managerial philosophy on a consistent basis. People can disagree with a person who acts like an administrative inspector,

but if that approach is practiced in both word and deed, it is far better than a principal (or any other administrator) who claims to be a human relations proponent but who acts like a scientific manager.

Suggested Activities

1. Interview at least four administrators and determine their predominant views of management or administration. You might start by asking for a definition of administration. Propose an administrative situation such as "reasons for making managerial decisions." Interpret their responses to how they might approach this issue by comparing them with the historical views of the chapter. Did any responses lean toward administrative inspection? Toward scientific management? Toward the human relations philosophy?

2. Look at the job descriptions of administrators in two or more different school districts. Can you determine if there are any prevailing views of how supervisors are supposed to behave, according to the historical dimensions reviewed in this chapter?

Additional Readings

Deming, W. E. (1986). *Out of the crisis.* Cambridge: MIT Press.

Dobyns, L., & Crawford-Mason, C. (1991). *Quality or else: The revolution in world business.* Boston: Houghton Mifflin.

6

Visions of Leadership

One of the surprises Kelly Marshall discovered during her first year is that as a principal, she is often expected to appear and give talks to a variety of groups. On one such recent occasion, she was invited to speak in front of the merchants' association in the neighborhood served by her school. The topic for the session was "Leadership for Our Community," and Kelly was joined by the president of the association, the administrator of a local hospital, and the pastor of the largest church congregation in the area. Each person was asked to present a personal definition of leadership and then talk about how that view was likely to have a positive effect on the neighborhood.

As Kelly prepared for her presentation, she thought very seriously about a topic that she believed to be critical in terms of her ability to serve as an effective principal. She looked over notes she had taken in graduate courses at the university, glanced at a few of the many books about leadership she had read during the past few years, and recalled the comments she made during the interviews she went through during the application process for her present job. All the questions about whether or not "leaders are born, not made" and what constitutes effective leadership returned to her as she organized her thoughts on the subject. But the core question, "What is leadership?" was not completely settled as she awaited her turn to talk to the community group.

* * *

The speaking engagement for the neighborhood association caused Kelly to do something most beginning principals are likely to do after stepping into their jobs. People make continued reference to school administrators as "leaders" or as people who will provide "leadership." As those words become more than mere academic terms, however, the truth often begins to sink in

that those who are called on to lead often need an opportunity to consider just what that responsibility involves.

In this chapter, we consider the concept of leadership from a variety of perspectives. I begin by developing a broad view of this complex topic by seeking a definition that appears in a variety of contexts. Then I review theoretical perspectives of leadership behavior from both descriptive and normative points of view. The chapter concludes with an examination of the concept of instructional leadership.

Before beginning the review of what others have said about the topic, how do you personally define *leadership?*

Alternative Definitions

When people talk about how an organization works, the issue of leadership almost always becomes a part of the dialogue. The presence or absence of this characteristic has a strong and direct impact on the effectiveness of an organization. Organizational analysts struggle to find a basic definition of the concept of leadership. In this section, I present a number of different definitions to help you determine some basic characteristics that you need to analyze your own sense of leadership behavior as it may relate to your future work in schools.

Gary Yukl (1991) pulled together several different definitions of leadership as part of a comprehensive review of this topic. Leadership can be defined in following ways:

> The behavior of an individual when he is directing the activities of a group toward a shared goal (Hemphill & Coons, 1957, p. 7)

> Interpersonal influence, exercised in a situation, and directed, through the communication process, toward the attainment of a specified goal or goals (Tannenbaum, Weshler, & Massarik, 1961, p. 24)

> The initiation and maintenance of structure in expectation and interaction (Stogdill, 1974, p. 41)

> An interaction between persons in which one presents information of a sort and in such a manner that the other becomes convinced that his outcomes (benefits/cost ratio) will be improved if he behaves in the manner suggested or desired (Jacobs, 1970, p. 232)

> A particular type of power relationship characterized by a group member's perceptions that another group member has the right to prescribe behavior patterns for the former regarding his activity as a group member (Janada, 1960, p. 358)

> An influence process whereby O's actions change P's behavior, and P views the influence attempt as being legitimate and the change as consistent with P's goals (Kochran, Schmidt, & DeCotiis, 1975, p. 285)

Two additional definitions of leadership are "the process of influencing others to achieve mutually agreed upon purposes for the organization" (Peterson, 1987, p. 3) and "that behavior of an individual which initiates a new structure in interaction within a social system; it initiates changes in the goals, objectives, configurations, procedures, inputs, processes, and ultimately the outputs of social systems" (Lipham & Hoeh, 1974, p. 196). Although all these definitions represent a wide range of ideas about organizational leadership, they display some common themes: (a) All suggest that the central feature of leadership is an interpersonal relationship in which one individual influences, guides, or controls the behaviors of others and (b) most definitions suggest that leadership implies some sort of change—that leaders promote movement in the organization or in the behaviors of people in the organization.

Recent research on leadership has also emphasized another simple but important fact: Leaders must have followers. The result of this has been the analysis of a set of behaviors often described in the literature as "followership." This is a critical issue to consider in light of the view that effective instructional leaders are people who empower others.

Regardless of the definition, leadership is a critical issue both in schools and in other organizations. Warren Bennis and Burt Nanus (1985) studied leader behavior in many different settings and concluded that this topic has relevance for at least three major reasons:

1. Organizations are suffering from a "commitment gap"; people do not believe in what their organizations stand for because leaders have not developed that sense of belief in their followers.

2. The level of complexity in modern society is higher than it has ever been before. Predictability and stability are characteristics that are virtually absent from most organizations today.
3. Organizational credibility is disappearing. Generally accepted authority figures are being questioned and challenged more often today because so many leaders have disappointed their followers in recent years.

Bennis and Nanus also suggest that leadership is no longer a simple academic term to be understood by social scientists but a very real concept that has meaning for everyone. As an educational leader, it is critical that you develop a genuine and personal definition of leadership as one important plank in your educational platform.

Descriptive Versus Normative Views

Leadership has been analyzed in two fundamentally different ways. The first of these is *descriptive*, in which leadership is defined as a particular set of identifiable, observable behaviors, actions, traits, or characteristics. No effort is made to suggest the correct or appropriate ways leaders may achieve these features. Descriptive views present "what is," not "what ought to be."

The second way of analyzing leadership is *normative*, in which an agenda is provided that is intended to shape future behavior and practice. Normative views suggest "what ought to be" or at least how things are likely to appear, given certain changes taking place in the environment. A normative analysis of leadership behavior might define those things an individual should do to appear as a certain type of leader under certain conditions.

Before moving forward with a review of either descriptive or normative views, let us consider how leadership has been conceptually developed from a historical frame of reference.

Historical Development of Leadership

The analysis of leadership in organizations has proceeded through at least four major stages: "great person," traitist, situational or sociological, and behavioral.

Great Person Approach

The great person perspective is a psychologically-based approach that suggests that leadership is determined primarily by the personality of the individual. If we wish to understand what characteristics constitute leadership,

then we should look to how a particular individual, or "great person," demonstrated leadership in the past.

A famous practitioner of this theory of leadership was General George Patton, who often determined how to deal with a military problem by reviewing what famous historical characters had done under similar circumstances. An avid student of military history, Patton often charted a path for the U.S. army during World War II based on the strategies of Caesar, Hannibal, or other great military leaders of the past. The great person approach to leadership analysis is seen more frequently than we might at first assume. Young children, for instance, have long been advised to read the biographies and autobiographies of famous people to learn how such people lived.

Although this approach to understanding leadership is tempting, it has severe drawbacks. For one thing, we can never find a single great person as a role model, because the exact circumstances of two lives will never be the same. Reading about the life of Abraham Lincoln does not enable us to follow in his footsteps, because so much of Lincoln's behavior was shaped by conditions in early 19th-century downstate Illinois.

A second limitation to the great person view is that the "person" has historically been defined in male terms. The net effect of this sexism is that women who aspire to leadership roles have been forced, usually in subtle ways, to find male role models; they have been trained to act like men. Ultimately, this ignores differences between how men and women might function most effectively, a major problem identified by Charol Shakeshaft (1987) in her analysis of gender differences in school administration.

Finally, great person approaches to leadership limit the creative behavior of present leaders. Instead of asking "What would Caesar have done under these circumstances?", the modern leader might more profitably explore new ways of facing a problem. By relying exclusively on the past behaviors of others for guidance, people in leadership roles will rarely bring about changes so often needed in dynamic organizations.

Traitist Approach

The great person approach suggests that we study individual leaders; a related view suggests that to understand how leaders behave, we should examine several individuals to determine common characteristics or traits. The student of leadership might note, for example, that leaders of successful corporations are tall, attended Ivy League universities, and drive big cars. We might conclude then that a way to the top of a major company would be to enroll at Penn, buy a Cadillac, and, if possible, grow a few inches (or at least buy a pair of elevator shoes!).

Once again, the traitist approach to the study of leadership is appealingly simple and straightforward. It suggests that an educational leader who

wants to be perceived as effective might constructively spend time finding out which of his or her predecessors were viewed as effective and then identifying and copying traits found in all those individuals. The realization that "dressing for success" sometimes produces an executive may make trait analysis seem like a reasonable strategy, but there are some obvious drawbacks.

Traits analyzed in this approach are frequently characteristics over which we have little control. A short follower wishing to acquire leadership characteristics cannot, of course, suddenly become tall. In addition, there is a danger in generalizing from limited examples. The lives of Abraham Lincoln and Lyndon Johnson might reinforce the notion that physical height has a relationship to leadership ability, but how do we explain the abilities of Napoleon in both the military and political spheres? And how could we ever appreciate the leadership skills of Ms. Smith, the local elementary school principal who is doing a great job, even though she is barely 5'2" tall?

Finally, traitist leadership approaches are highly restrictive. When people focus on specific, similar traits of past leaders, they tend to be unduly biased toward those traits. Perhaps the traits of the leader even overshadow the other components necessary to run the organization. Thus, traits of new leaders should not be restricted to the traits of past leaders. Consider the following example: If we were to select school superintendents and principals based on traits common to past holders of these positions, we would limit our search to white, married males who had previously been coaches. That the majority of present school administrators possess these traits is probably testimony to the popularity of the traitist perspective. Popularity, however, is no excuse for the maintenance of delimiting practice.

Situational Approach

In sharp contrast to the great person and traitist approaches, which emphasize physical and psychological characteristics, in the study of leadership, the situational approach maintains that leadership is determined less by the characteristics of individuals than by the requirements of the groups or the settings in which the individual works. According to this view, acts of leadership are the direct result of situations that arise in groups or organizations that call for those acts. Thus, an individual's exercise of leadership is brought about by the demands of the group with which the individual must interact. John Hemphill (1949) conducted a comprehensive sociological study of the impact of leaders according to differences of groups. He found such variables as viscidity (the feelings of cohesion in a group), hedonic tone (the degree of satisfaction of group members), size of the group, homogeneity of group members, and intimacy among individuals in the group to correlate significantly with leadership effectiveness. Inevitably, however,

researchers realized that if the study of leadership focused purely on such situationally specific issues as how particular groups react to particular individuals, then the study of leadership would no longer be possible.

The actions of World War I hero Sergeant Alvin York provide examples for a good deal of situational leadership analysis. York might never have been recognized in history had he remained a poor Tennessee farmer who wanted to stay out of the war entirely. However, he was drafted and served in the army. He was in the right place at precisely the right time to capture more German prisoners of war than any other soldier. A clear limitation of the theory that situations alone evoke leadership behavior is that it ignores almost completely the individual's characteristics as a leader. Alvin York would not have been a military leader without World War I, but his leadership potential might have been realized in some other field. We have no way of knowing.

Behavioral Approach

More recent analyses of leadership examine the behavior of leaders and balance elements of both the psychological (great person and traitist) and situational approaches. This perspective recognizes that a leader's behavior is the result of a blend of both personal characteristics and the situations in which the leader must act. Basic assumptions in this view are the following:

- People behave according to different leadership styles. This occurs because people differ in how they perceive a situation, accomplish tasks, interact with others, and make decisions.
- People behave differently depending on contextual circumstances. As a result, behavior changes.
- There is no single "right way" for people to behave.
- What is comfortable and "right" for one person may feel uncomfortable and "wrong" for another.
- An organization functions best when it capitalizes on the strengths of each individual, encouraging the recognition and celebration of difference.

Alternative Descriptive Models

Three alternative leadership perspectives are presented below as illustrations of descriptive theories or models. These approaches all make use of behavioral terms. They were developed by Andrew Halpin and James A. Winer (1957), Robert House (1973), and popular recent descriptions by Stephen Covey (1991).

Halpin and Winer

According to these two researchers, a leader's behavior is composed of two basic dimensions: initiating structure and consideration, defined by Halpin (1957) as follows:

- *Initiating structure.* Behavior that delineates the relationship between the leader and members of the work group and endeavors to establish well-defined patterns of organization, channels of communication, and methods of procedure
- *Consideration.* Behavior that indicates friendship, mutual trust, respect, and warmth in the relationship between the leader and the staff

House

House (1973) used terms derived largely from the work of Halpin and Winer for describing leadership behavior: instrumental, supportive, and participative.

- *Instrumental leadership.* Behavior that delineates the relationship between the leader and members of the work group and attempts to clearly define patterns of the organization without autocratic or punitive control
- *Supportive leadership.* Behavior that indicates friendship and warmth toward the work group by the leader
- *Participative leadership.* Behavior that allows subordinates to influence decisions by asking for suggestions and including the subordinates in the decision-making process

Covey

Many popular authors have attempted to isolate, identify, and describe the qualities demonstrated by effective leaders of organizations. Among these are Peters and Waterman (1982), Bennis and Nanus (1985), and Kouzes and Posner (1987). Each of these perspectives represents a blend of analysis reflecting the traditional traitist view of leadership, although each work is careful to note that leadership behavior must be appreciated in light of a specific contextual reality. As a result, it might be argued that many current descriptions of leadership are also behavioral in nature.

The example of popular leadership analysis selected for a brief review here is the work of Stephen Covey (1991). His work is founded on many of the same assumptions identified as central to effective educational leadership. Covey notes eight characteristics of "principle-centered leaders":

1. *They are continually learning.* They are constantly educated by their experience.
2. *They are service oriented.* They view their roles as providing for the needs of followers, as career stops.
3. *They radiate positive energy.* They are happy and enthusiastic people.
4. *They believe in other people.* They endeavor to find the best in others, not the faults of others.
5. *They lead balanced lives.* They are not married to their work; they enjoy a full range of social, intellectual, familial, and work-related experiences.
6. *They see life as an adventure.* They see things that occur in their lives as challenges, not problems.
7. *They are synergistic.* They are able to pull together the vast resources of talent and energy found in people and events that surround them so that they can make organizational life more productive, or as the sum of many individual parts.
8. *They exercise for self-renewal.* They engage in regular exercise to strengthen themselves physically, mentally, emotionally, and spiritually. (pp. 33-38)

Each of these theoretical perspectives on leadership can help us to understand some of the basic characteristics of leadership behavior. All are descriptive in nature and as such are somewhat limited, because they only present ways of stating what can be observed concerning leadership. Of greater value to the educational leader are normative perspectives of leadership behavior, three of which are considered next.

Alternative Normative Models

The three analyses below extend the basic descriptions of leadership attitudes and behavior so that they can be used to predict more or less desirable ways in which people "ought" to behave. These three views are the Leadership Grid of Robert Blake and Anne Adams McCanse (1991), W. J. Reddin's 3-D Theory of Leadership (1970), and the Behavior Matrix developed by the Northwest Regional Educational Laboratory (1980).

Leadership Grid

As is true of most conceptualizations of leadership, the Leadership Grid model of Robert Blake and Anne Adams McCanse suggests that leadership consists of two attitudinal dimensions: a concern for people (i.e., interpersonal relations) and a concern for tasks, production, or things. This conceptualization of leadership is based on earlier work by Blake and Jane Mouton (1985), who developed the Managerial Grid. Blake and Adams McCanse's

Leadership Grid (Figure 6.1) resembles Halpin and Winer's two-dimensional managerial theory.

The Leadership Grid permits the analysis of leadership attitudes in terms of both concern for people and concern for product on a continuum of 1 (low) to 9 (high). According to Robert Owens (1987), Blake and Mouton made it clear in their earlier work that 9,9 (high in both areas) is the leadership attitude pattern thought to be most effective in most organizations to achieve the best results.

Results means the effectiveness of the organization in achieving its goals and maintaining a high level of morale. Goal achievement might be measured by such indicators (in schools) as test scores, number of dropouts, percentage of graduates going on to further education, employee-management relations, community support for bond issues, and feedback from employees on the performance of graduates. Morale may be indicated by absenteeism, number of grievances, employee-management relations, and cohesiveness of the group (Owens, 1987, p. 134).

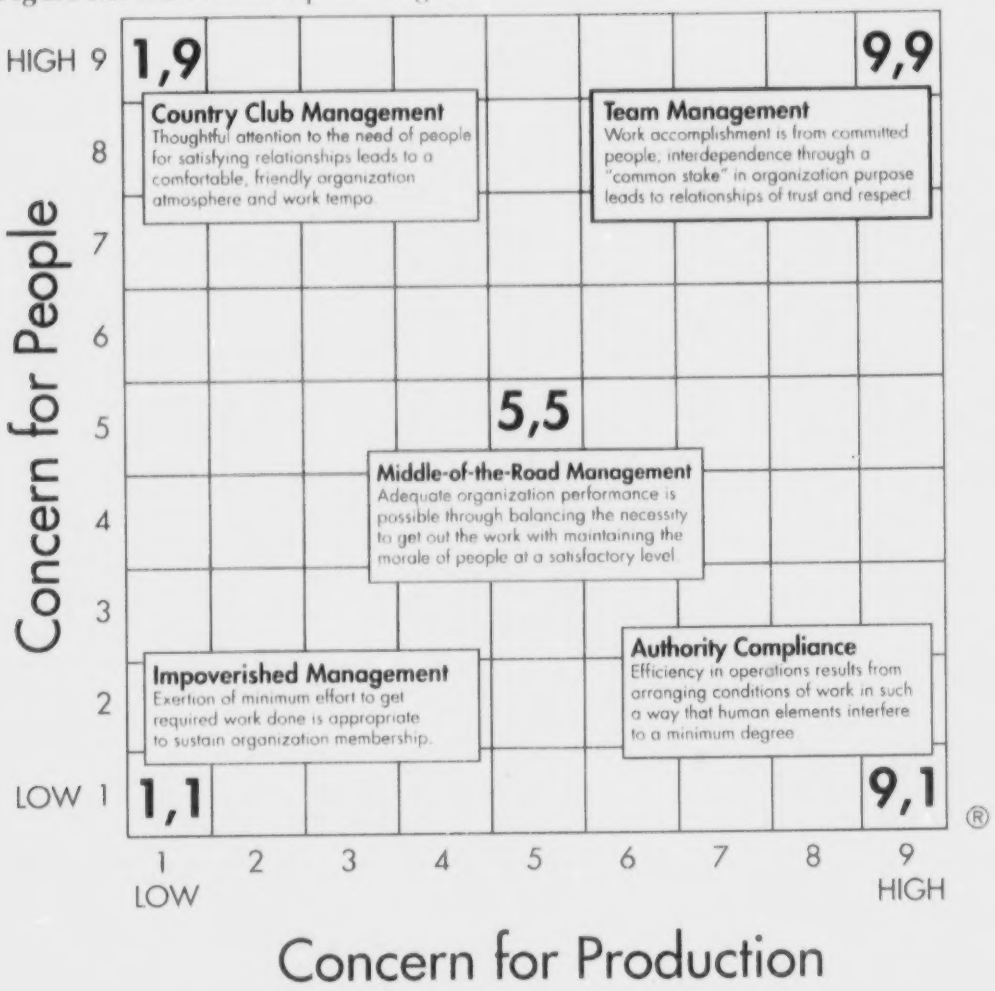
The Leadership Grid model does not simply provide more terms to describe leadership approaches; rather, its implications about the relative effectiveness of certain behaviors provide useful direction for any individual seeking to perform as an effective educational leader. A grid rating of 1,1 ("Impoverished Management"), for instance, would hardly be an appropriate pattern for an administrator called on to provide direction to a school staff. A 9,9 rating ("Team Management"), on the other hand—where equivalent emphasis is placed both on the needs of teachers, students, and staff and on school outcomes—would be optimal. Variations on this most desirable level are likely, of course. An administrator who is a proponent of human relations philosophies (see Chapter 5) would probably come closer to a 1,9 ("Country Club Management") attitude rating—high concern for people, low concern for production—whereas an administrator who believes in scientific management might achieve something closer to a 9,1 ("Authority Compliance")—low concern for people, high concern for production.

The Leadership Grid is widely used in both public and private management circles not only as a diagnostic, descriptive device to help individuals understand their attitudes but also as a way to appreciate points where one set of attitudes may be more or less appropriate than others.

Reddin's 3-D Theory of Leadership

The normative 3-D Theory of Leadership developed by W. J. Reddin (1970) goes a step beyond the Leadership Grid yet builds on the same logic (concern for people versus concern for tasks). The major distinction between Reddin's view and the Leadership Grid is that any one single combination of behaviors is not necessarily better than any other combination. Figure 6.2

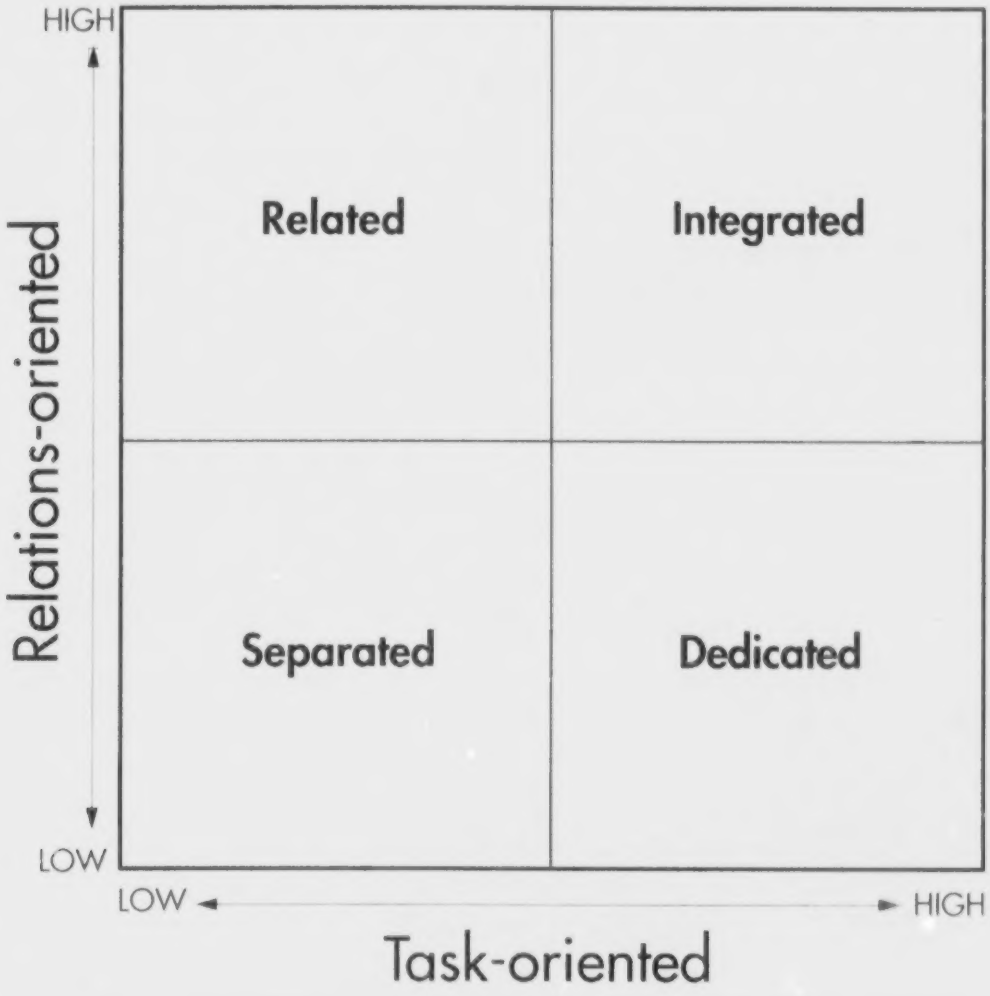
Figure 6.1. The Leadership Grid Figure


HIGH 9
1,9
9,9
Country Club Management
Thoughtful attention to the need of people for satisfying relationships leads to a comfortable, friendly organization atmosphere and work tempo.
Team Management
Work accomplishment is from committed people, interdependence through a "common stake" in organization purpose leads to relationships of trust and respect.
8
7
6
5
5,5
Middle-of-the-Road Management
Adequate organization performance is possible through balancing the necessity to get out the work with maintaining the morale of people at a satisfactory level.
4
3
Authority Compliance
Efficiency in operations results from arranging conditions of work in such a way that human elements interfere to a minimum degree.
Impoverished Management
Exertion of minimum effort to get required work done is appropriate to sustain organization membership.
2
LOW 1
1,1
9,1
®
1 LOW
2
3
4
5
6
7
8
9 HIGH
Concern for People
Concern for Production

SOURCE: The Leadership Grid® Figure from *Leadership Dilemmas—Grid Solutions*, by Robert R. Blake and Anne Adams McCanse (formerly *The Managerial Grid Figure* by Robert R. Blake and Jane S. Mouton). Houston: Gulf Publishing Company, p. 29. Copyright © 1991, by Scientific Methods, Inc. Reproduced by permission of the owners.

demonstrates Reddin's basic model, which simply provides descriptive classification in four quadrants: Separated (low in concern for people and task); Related (high in concern for people, low in task orientation); Dedicated (low in concern for people, high in task orientation); and Integrated (high in concern for people and task). The critical point to note is that at this basic stage, Reddin's quadrants are purely descriptive; none is better or worse than any other.

Figure 6.2. Basic Model of Reddin's 3-D Theory of Leadership



SOURCE: *Managerial Effectiveness* by W. J. Reddin (1970). Reprinted by permission.

Reddin's theory becomes normative, however, when it goes on to suggest that the basic four behaviors are more or less appropriate, depending on the unique characteristics of the situation that exists in the leader's organization. As the model in Figure 6.3 suggests, for example, the leader who demonstrates an "Integrated" style might appear to be inappropriately compromising in some circumstances. In other situations, the "high in concern for both people and task" style might be perceived as truly "executive." The "Separated" leader (low in concern for people and tasks), viewed as disconnected and a "deserter" in some situations, might be an effective and organizationally needed "bureaucrat" in other cases. Sergiovanni and Starratt (1983) summarized the overall value of Reddin's 3-D Theory of Leadership:

Figure 6.3. Effective and Ineffective Expressions of Leadership Style According to Reddin

When Used Inappropriately	Basic Styles	When Used Appropriately
Compromiser ◂	**Integrated**	▸ Executive
Deserter ◂	**Separated**	▸ Bureaucrat
Autocrat ◂	**Dedicated**	▸ Benevolent Autocrat
Missionary ◂	**Related**	▸ Developer

SOURCE: *Managerial Effectiveness* by W. J. Reddin (1970). Reprinted by permission.

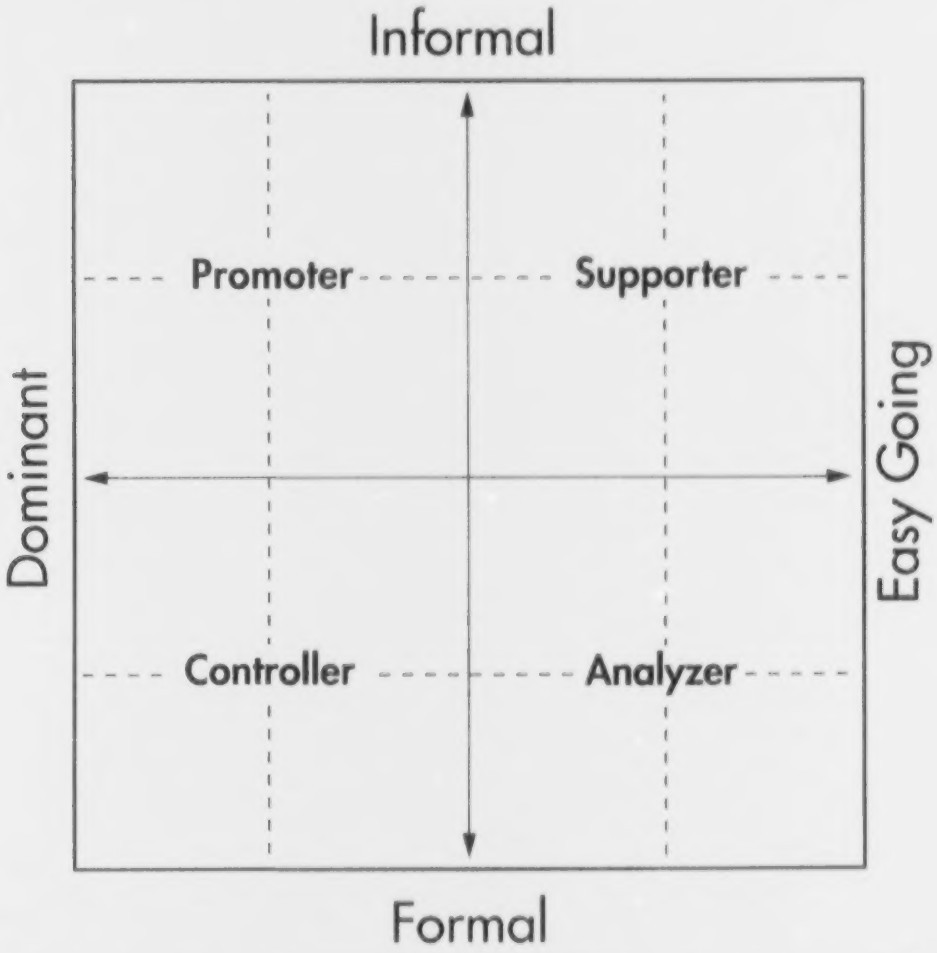
> At first glance the theory seems complex and the labels chosen by Reddin confusing and on occasion inappropriate. But the language system is worth deciphering, for the concepts and ideas basic to the theory are powerful and important. A key to this theory is the notion that the same style expressed in different situations may be effective or ineffective. (p. 183)

The basic problem with Reddin's theory is that "appropriate" and "inappropriate" situations are not clearly defined. Nevertheless, Reddin's view of effective leadership behavior as a dynamic and situational, rather than static phenomenon is important.

Leadership Behavior Matrix

The final normative view of leadership behavior considered here is the Leadership Behavior Matrix developed by researchers at the Northwest Regional Educational Laboratory in Portland, Oregon. This perspective is also based on the assumption that two dimensions make up leadership behavior. The major difference between this perspective and the ones reviewed earlier is that the Northwest Laboratory Matrix suggests that people are either task oriented or people oriented and either introverted or extroverted in terms of how they work with others. Figure 6.4 depicts the Leadership Behavior Matrix model, which classifies the behavior of an individual according to four distinct styles:

Figure 6.4. Leadership Behavioral Matrix Model



SOURCE: Northwest Regional Educational Laboratory, Portland, Oregon. Reprinted by permission of the publisher.

1. *Promoters.* Extroverted and people oriented, these individuals get involved with others in active, rapidly changing situations. They are typically outgoing and friendly and can get things going but may settle for less than the best results. Promoters are highly competitive.
2. *Supporters.* Introverted, people-oriented types who value interpersonal relations, these individuals try to minimize conflict and promote the happiness of others.
3. *Analyzers.* Introverted, task-oriented people who are problem solvers and like to have all the data before making a decision. Thus, some people get frustrated with their slow decision making.

4. *Controllers.* Extroverted and task oriented, these individuals love to run things and have jobs done their own way. They will make sure that the task is completed on time and to their satisfaction.

The critical point here is that no one leadership style is better than any other; there are no "right" or "wrong" styles. Individuals in each of the four quadrants have strengths and weaknesses that may be called on in different situations to create more effective organizational outcomes.

The Leadership Behavior Matrix is particularly useful in analyzing potential conflicts that are most apt to occur along the diagonals of the quadrants depicted in Figure 6.4. Thus, the most powerful conflicts tend to take place between promoters and analyzers and between controllers and supporters. Consider, for example, the possibility of conflict between a patient, quiet, and thoughtful analyzer, who wants more and more facts and data before acting, and the more impulsive promoter. Moreover, the action-oriented controller will no doubt have a difficult time dealing with more laid-back supporters. Conflicts are clearly going to take place in schools where all these various behavioral styles are represented, and these conflicts will be increasingly visible and powerful as people become more wedded to the predominant behavioral characteristics of a particular quadrant. More extreme promoters will probably have even more direct problems in dealing with more extreme analyzers.

The Leadership Behavior Matrix, like Blake and Adams McCanse's Leadership Grid and Reddin's 3-D Theory of Leadership, is a behaviorally based, normative model of leadership analysis. All three, properly understood, can provide direction and guidance for effective leadership practices.

Next, we consider how behavioral views of leadership have been applied to school settings by looking at the concept of instructional leadership.

Emerging Leadership Perspectives

In recent years, discussions of leadership in the context of educational organizations have built upon the behavioral theories of leadership reviewed earlier. Many of these theoretical bases have been directed toward the theme of administrator as an instructional leader (Austin, 1979; Brookover & Lezotte, 1980; Lipham, 1981; Smith & Andrews, 1989).

Instructional Leadership

Despite the number of discussions about, and support for, the concept of instructional leadership, little has been done to define the concept operationally. Few studies have been undertaken to determine the specific behaviors

of administrators who serve as instructional leaders. Early efforts tended to define leadership behavior in very narrow terms. As a result, most early descriptions focused only on how school principals became directly involved with instructional activities, and the perception grew that only those principals who spent nearly all their time either teaching classes or observing teachers were legitimately serving as instructional leaders. This view has more recently been rejected for at least two reasons: (1) We now recognize that individuals other than principals might engage in instructional leadership behaviors and (2) we have increasingly realized that instructional leadership can take forms that go well beyond direct intervention in classroom activities (Jensen, 1989; Weber, 1989). The definition of instructional leadership by Ching-Jen Liu (1984) is useful in describing this concept: "Instructional leadership consists of direct or indirect behaviors that significantly affect teacher instruction and, as a result, student learning" (p. 33).

Liu divided the tasks of instructional leadership into two categories—direct and indirect. In very broad terms, we might classify *direct leadership activities* as staff development and teacher evaluation and supervision and *indirect leadership* as instructional facilitation, resource acquisition and building maintenance, and student problem resolution. Examples of specific behaviors related to each of these categories are as follows:

Factor 1. *Staff Development*

- Work with a committee to plan and implement the staff development program.
- Survey staff members to determine topics and activities for a year-long staff development program.
- Provide inservice training for the support staff on how their roles relate to the instructional program.

Factor 2. *Teacher Evaluation and Supervision*

- Involve all staff members and people from the community in setting clear goals and objectives for instruction.
- Work according to the belief that all teachers can teach and teach well.
- Have conferences with individual teachers to review their instructional plans.

Factor 3. *Resource Acquisition and Building Maintenance*

- Acquire adequate resources for teaching.
- Allocate resources on the basis of identified needs according to a priority ranking.
- Maintain the building in order to provide a pleasant working environment for students and staff.

Factor 4. *Instructional Facilitation*

- Establish priorities so that instruction is always first in terms of the amount of time directed to it.
- Work according to the belief that all students can learn and achieve at high levels.
- Support teachers who are implementing new ideas.

Factor 5. *Student Problem Resolution*

- Assist teachers in dealing with discipline problems.
- Enforce school attendance policies to reduce tardiness and absentee rates.
- Interact directly with students to discuss their problems about school.

As you read this list, you might reflect on whether principals with whom you are familiar seem to devote time specifically to only a few of these factors while apparently ignoring others. You may wish to compare your observations to the findings of some additional research by Liu (1984), who studied two groups of midwestern high school principals, one "effective" and another "not effective." He found that the effective group engaged in instructional leadership behaviors more often than the other group and that those behaviors reflected both direct and indirect instructional leadership. As a result, we now recognize that the analysis of instructional leadership is considerably more complex than first thought and that administrators who strive to exhibit instructional leadership must be prepared to engage in a wide range of activities that support the instructional priorities of the school. We suspect that instructional leadership is as much a product of a personalized instructional philosophy as it is of any particular activities that a person engages in.

A recent effort to gain a better understanding of what behaviors constitute instructional leadership was carried out by Jerry Patterson (1993) for the Association for Supervision and Curriculum Development (ASCD). He looked at the work of numerous principals who had been identified as instructional leaders. These individuals, who were viewed as effective leaders, exhibited five behavioral patterns. Again, it may be helpful for you to think of principals whom you know and which of these patterns they exhibit.

1. *They provide a sense of vision to their schools.* They demonstrate the ability to articulate what a school is supposed to do, particularly in terms of what it should do to benefit children. Effective instructional leaders leave little doubt that the purpose of the school is to find ways in which children may learn successfully. This vision guides all other activities.
2. *They engage in participative management.* They encourage a better organizational climate in the school by allowing teachers and staff to

participate meaningfully in real decision making and not merely in an effort to pretend they are getting people involved when in reality decisions are already made. The staff senses greater ownership in the priorities and programs that are available to help children.

3. *They provide support for instruction.* Instructional leaders are so committed to maintaining quality instruction as their primary organizational focus that when decisions must be made concerning priorities, instruction always comes first. These individuals make it clear to all around them that energy will be expended to ensure that resources are available to enable the instructional program of the school to proceed unabated.
4. *They monitor instruction.* They know what is going on in the classrooms of their schools. This monitoring may take several forms from direct, in-class, intensive observation to merely walking around the building and talking with students. The critical issue, regardless of the particular procedures followed, is that instructional leaders are aware of the quality of instruction being carried out in their schools.
5. *They are resourceful.* Instructional leaders rarely allow circumstances in their organizations to get in the way of their visions for quality educational programs. As a result, they tend not to allow the lack of resources—or prohibitive school or district policies or any other factors—to interfere with their goals for their schools.

Instructional leaders exhibit these behavior patterns very differently. Thus, people with different personalities, philosophies, values, and attitudes can be equally effective as educational leaders. In addition, different schools can serve as settings for instructional leadership of the type identified through the ASCD work.

As one might predict, effective school leaders share many behavioral patterns with leaders in other organizations. Bennis and Nanus (1985), in a study of a variety of effective organizations, discovered five strategies followed by successful leaders:

Strategy 1. *Attention through vision.* Leaders create a focus in an organization or an agenda that demonstrates an unparalleled concern for outcomes, products, and results.

Strategy 2. *Meaning through communication.* Effective communication is inseparable from effective leadership.

Strategy 3. *Trust through empowering.* Leaders must be trusted in order to be effective; we trust people who are predictable and whose positions are known. Leaders who are trusted make themselves known and make their positions clear.

Strategy 4. *The deployment of self through positive self-regard.* Leaders have positive self-images, self-regard that is not self-centered, and they know their worth. In general, they are confident without being cocky.

Strategy 5. *The development of self through the Wallenda factor.* Before his death, the aerialist Karl Wallenda was said to have become more preoccupied with not falling than with succeeding. Leaders are able consistently to focus their energies on success rather than on simply avoiding failure.

General Comments About Leadership

The material presented here about leadership only scratches the surface of an extremely complex topic. The search for a complete understanding of what contributes to effective organizational leadership has been at the center of virtually every analysis of organizations. People always have been and always will be fascinated with determining "who leads?" and "how do they do it?" People will always try to put into some kind of order the notions they have about leadership.

Researchers have only gotten a very brief glimpse into the process of leadership. Many facets of this critical topic have not yet been explored. For example, researchers have tended to look almost exclusively at leadership demonstrated by those who have formal leadership titles in schools and other organizations. The roles of principals, superintendents, and others have been examined to the virtual exclusion of the study of others. Anyone who has ever worked in or around schools will recognize that leadership is not the "exclusive property of administrators" (Playko, 1991). And anyone who assumes that it is could be making a terrible mistake in judgment. A second area where more research is needed is the phenomenon of *followership* and the nature of the dynamic relationships that occur between leaders and others in their organizations. The concept of *transformative leadership* (energy directed toward enabling others to sustain needed change), first described by James McGregor Burns (1978) and expanded into an emphasis on empowerment by Bennis and Nanus (1985), appears to hold promise for increasing our understanding of how leaders interact with others. Leaders must have followers, and interest must be directed toward that fact.

Finally, a discussion of leadership often includes some views that Bennis and Nanus call the "myths of leadership." We conclude this analysis of leadership by listing these myths and noting why they should not be viewed as limitations.

Myth 1. *Leadership is a rare skill.* In fact, virtually everyone has some leadership potential, and opportunities are great for many people to assume formal and informal leadership roles in a variety of settings.

Myth 2. *Leaders are born, not made.* As we noted when we looked at the great person approach to leadership, the major capacities and competencies of leadership can be learned if there is a basic desire to learn them. Acquiring the knowledge and skills for effective leadership is not easy, but most people have the fundamental capacity to become powerful leaders.

Myth 3. *Leaders are charismatic.* Most leaders are quite human, and they rarely possess any magical talents that are unavailable to the rest of us. In fact, some evidence indicates that what we call charisma is the result of leadership, not the reverse. Good leaders often gain respect and admiration from their followers because of the ways in which they demonstrate leadership qualities.

Myth 4. *Leadership exists at the top of an organization.* As noted in the review of instructional leadership, successful leaders strive to increase opportunities for staff members to take active roles in schools through conscious efforts at participative management. Leaders are not threatened by allowing others to have some control over the organization.

Myth 5. *The leader controls, directs, prods, and manipulates.* Leadership is not the exercise of absolute power but rather the empowerment of others to make use of their full potential. As a result, any effort at control for its own sake might not be an activity of leadership at all but rather an effort to dominate. Ultimately, organizations that are faced with this type of strangling behavior will either cast out the leader or die as organizations.

Summary

This chapter reviewed the concept of leadership, often referred to as the single most important characteristic to be developed by anyone interested in pursuing an administrative role. It is assumed that you will never be effective without considering some of the basic issues presented in this chapter.

A variety of definitions found in the literature were examined, along with the basic differences between descriptive and normative conceptualizations of leadership—a rather subtle shift in recent years from efforts to describe what leadership is to attempts to tell people how to behave as leaders.

We then considered four historical frameworks for the analysis of leadership, including the great person, traitist, situational, and behavioral approaches. I noted the major limitations for each of the first three approaches. These limitations suggested why most current explanations of leadership use the behavioral perspective, which emphasizes the relationships that

exist between individual characteristics and the context in which people work.

Next, we considered several descriptive and normative leadership theories. The chapter also reviewed the concept of instructional leadership and concluded with some general comments and observations on the nature of the complex phenomenon of leadership in schools.

As a practicing school administrator, it is highly unlikely that you will ever be expected to recall the specific names of leadership theorists, conceptual frameworks, or many of the other ideas presented here. However, as in the case of Kelly Marshall, you will often be on stage as a leader in many different settings in your career, and people will constantly seek your personal vision of leadership, either directly or indirectly. It makes little difference if that vision relies on the theories described here or not. As a result, part of your personal journey and professional development must be devoted to a personal reflection on two central issues: What *is* leadership? and How do *I* fit that definition?

Suggested Activities

1. Write a personal response to the question "What is leadership?" Do not be concerned with trying to incorporate any of the theoretical perspectives or language used in this chapter unless these are helpful to you in your own reflection.

2. Interview a group of teachers and determine their perceptions of what leadership should be. Compare the definitions with your own view and also the definitions that are presented with the alternative perspectives of leadership discussed in this chapter.

3. Using the leadership myths of Bennis and Nanus, compose a rating scale that may be used to collect data concerning perceptions of whether people agree or disagree with each of the stated myths.

4. Talk with people who are not in professional education and determine their perceptions of what leadership is. Again, compare these statements with the great person, traitist, situational, and behavioral perspectives.

5. Interview at least five practicing school administrators and determine their personal definitions of *instructional leadership*. How successful do these individuals feel about actually engaging in behaviors that are part of their definitions? What prohibits people from serving as instructional leaders? What contributes to their ability to serve in this capacity?

Additional Readings

Bennis, W. (1990). *Why leaders can't lead.* San Francisco: Jossey-Bass.

Covey, S. R. (1989). *The seven habits of highly effective people.* New York: Fireside.

DePree, M. (1989). *Leadership is an art.* New York: Dell.

Duignan, P. A., & MacPherson, R. J. S. (Eds.). (1992). *Educative leadership: A practical theory for new administrators and managers.* London: Falmer.

Heifetz, R. A. (1994). *Leadership without easy answers.* Cambridge, MA: Belknap.

Jacobson, S. L., & Conway, J. A. (Eds.). (1990). *Educational leadership in an age of reform.* White Plains, NY: Longman.

Rost, J. C. (1993). *Leadership for the twenty-first century.* Westport, CT: Praeger.

Wheatley, M. (1992). *Leadership and the new science: Learning about organizations from an orderly universe.* San Francisco: Berrett-Koehler.

7

What It Means to Be in Charge

One of the things that Kelly Marshall noted soon after she stepped into the principalship was that teachers seemed to look at her quite differently. In 12 years in the classroom, she had worked in two different school districts and three schools, so she had experience in working in new schools with new colleagues. But what she was experiencing now was very different. She discovered very quickly that she was no longer "one of the teachers." Teachers, parents, classified staff, and students approached her in ways different from what she had ever experienced before as an educator. Kelly now felt like an outsider in the groups she had worked with so happily for years. And it was bothering her.

The reasons for Kelly's current feelings were made very clear only a few days after she had taken the job. A teacher walked into her office one day and asked to have a certain student removed from her class because he was disruptive on the first day of school. Kelly declined because she believed that the student would settle down in a few days. She told the teacher that it was too soon to start making any changes in the class rosters, but that they could talk about things in a week or so. The teacher was clearly displeased with the administrative decision and marched out of the office with the barely audible comment, "Well, you're the boss." It was one of the first times that Kelly truly discovered how uncomfortable it was to be in the hot seat.

* * *

Kelly was discovering very quickly another reality of moving into an administrative post for the first time. When she accepted her job as a principal, she had stepped across the line and become an administrator, manager, boss, or one of "them." It was the realization of a personal and professional dream

in so many ways. She had worked hard to complete her graduate work at the university, to the extent that she often felt guilty about ignoring her family at times. She spent many hours preparing for and engaging in interviews for positions at several different school districts. She finally found her present job, and she was thrilled with being a principal. There was no question that she had now achieved what she wanted to achieve, but like so many beginning administrators, she was also discovering that there were some aspects of her job that were making her quite uncomfortable.

Many people do not fully appreciate that being an administrator means that you are suddenly in control and that you now have power and authority. The concepts of power, authority, and resulting control frequently evoke negative reactions in people. Classroom teachers intent on exploring alternative career options in the field of education seem particularly concerned about the need for administrators to exercise power and authority, perhaps because of a long-standing reluctance among educators to think in terms of trying to control others.

This chapter reviews the realities of power, authority, and control as part of the world you will experience as an administrator. These things come with the turf of a leadership role. Authority and power are a part of any formal administrative role. If you find that unpleasant, you may wish to reconsider your decision to enter the world of administration.

We will explore the issues of power and authority as well as how the exercise of these by administrators may serve to control others. Using power and authority correctly can also result in more effective organizations. The chapter begins with definitions and essential characteristics of organizational power and authority. It concludes with a consideration of some of the immediate, practical applications of these concepts for you as you proceed toward a career in educational leadership.

Alternative Definitions

Power and *authority* are terms that often come up in discussions of organizational leadership, but they are often used vaguely. For example, many classroom teachers frequently express distrust for those who appear to possess either characteristic. However, those same teachers often forget that they also engage in the use of authority, power, and control when they walk into their classrooms each day. Any fundamental understanding of the nature of administration or management, whether in schools or in other organizations, must include an understanding of power and authority. In addition, research on beginning principals shows that a consistent problem for them is related to their inability to assume and understand the concepts of power, authority, and control that all come as part and parcel of any new leadership role.

In simple terms, the German sociologist Max Weber (1947) defined power as the "probability that one actor within a social relationship will be in a position to carry out his own will despite resistance" (p. 52). Power, then, is the fundamental ability of one person to command some degree of compliance on the part of another person. By contrast, authority suggests a much less general concept. Clayton Reeser (1973) defined authority as "a right granted to a manager to make decisions, within limitations, to assign duties to subordinates, and to require subordinates' conformance to expected behavior" (p. 311). On the basis of the distinctions suggested in these definitions, we can make some important generalizations about these differences between power and authority.

First, *everyone has power,* or at least the *potential* for exercising power. Each of us potentially has the ability to encourage another person to behave in some particular way. Even a person whose role in society seems most unimportant may effect some change in others or in society in general. Understood in this way, power is not simply owned or exercised by people who wear the title of *administrator.* Indeed, classroom teachers, classified staff, parents, and students all have the "power" to move others toward new behaviors, practices, or even beliefs.

When we think of power, we tend frequently to think in terms of its use or in many cases, its abuse. We think first of those whose roles automatically provide a potential for influencing others. Everyone has power, but not everyone makes use of it or develops the skill required to exercise power effectively from a position that does not appear to be strong. This observation is true regardless of how that power was acquired in the first place, whether by assuming a position where formal authority is normally delegated or by demonstrating competence in a typically "nonpower" role.

Not everyone, on the other hand, may have access to authority, which is a condition normally possessed by a relatively small percentage of people. According to Herbert Simon (1957), a person with authority has and "uses the formal criterion of the receipt of a command . . . as his basis of choice" (pp. 108-109). Authority is a legitimized statement of one (or more) person's formal designation to control the behaviors in an organization, and it derives from certain societal forces.

The primary distinctions between power and authority are fairly straightforward. *Power* is the *ability* to make others behave in certain ways and is available to most people in society, regardless of whether or not they have formal authority. *Authority* includes the *right* to make others behave in certain ways and is not available to everyone but rather is formally conferred on some. Interestingly, however, the fact that people have authority does not necessarily guarantee that they will exercise power.

Which of the approaches to power described above have you used in carrying out your duties as a classroom teacher? Which approaches are most effective when used with you?

Characteristics of Power

This section examines the broader concept of power by looking at its traditional sources. French and Raven (1960) suggested five sources of social power, and these are examined as they relate to the role of an educational administrator.

French and Raven: Sources of Social Power

Reward power is the capacity to provide rewards or incentives to others in the organization as a way to influence their behavior. This form of power is often associated with practices people see (or think they see) by school administrators. However, many other educators use *coercive power.* Teachers frequently try to control pupils' behavior by threatening punishments ("You won't get recess today if you don't behave!" or "There will be a quiz tomorrow if I don't think you're keeping up with your reading assignments"). Richard Gorton (1980) noted the following assumptions related to the use of coercive power:

- The strength of coercive power will increase with the magnitude of punishments or costs that the other person perceives that the person exercising power may apply.
- The strength of the coercive power will depend on the actual sanctions or punishments that are applied, not on what one hopes to apply.
- Unsuccessful attempts to exert coercive power will tend to decrease the personal strength of that power in the future.

Legitimate power is most similar to what shall later be described as *formal authority.* Control of one person by another is based on the assumption that the person exercising the power has the legitimate right to do so and is supported by a statement of policy, law, or even historical precedent and tradition.

This type of power is hierarchical in nature and derived from the organizational structure of a school system. The board of education is at the top of the chart, the superintendent reports to the board, building principals are accountable to the superintendent, and teachers must respond to the legitimate dictates of their principals. All these examples show the nature of legitimate power being applied. What an organizational chart does not show, of course, is *how* legitimate power is exercised in any particular school system.

Referent power is the tendency of other individuals to be attracted by and to identify closely with the person who exercises the power. A certain emphasis is therefore placed on the charismatic qualities of the administrator or other person who is making use of the power. Simply stated, this is power derived largely from the extent to which people respect the person in charge. Gorton's assumptions related to this source of power include the following:

- The greater the perceived attractiveness of the person exercising power, the more likely that there will be identification with the leader.
- The stronger the identification with the leader, the greater will be the likelihood that the leader can successfully use referent power.

Finally, *expert power* is the ability to influence others' behavior through special knowledge. Here, the emphasis on making use of competence and expertise is a way to increase public perception that the leader knows a great deal about what others in the organization are trying to do. When school building administrators were teachers first and principals only on a part-time basis, it was easy to see that the main source of influence by those early principals was often the result of others' perceptions that they had advanced or superior teaching skills.

Gorton's assumptions regarding the application of expert power follow:

- The strength of the expert power of a person will vary with the personal knowledge and skill that he or she might possess, along with others' perceptions of her or his expertise.
- The stronger the perception by others that the leader possesses expert power, the higher will be their satisfaction and evaluation of the quality of the leader's performance.

French and Raven's five sources of social power can be understood from both a descriptive and a normative perspective. They provide certain insights into how power may be classified for further analysis, and they also provide the administrator with a way of understanding the implications of reliance on one source or another. Understanding the differences that exist between referent power and reward power, for example, and the likely effect that each may

have on people who work in organizations is a powerful way to guide behavior. Consider the possible response to an administrator who works at increasing his or her expert power by learning more about a particular topic as contrasted with the probable response to an administrator who tries to pull rank by using threats, punishments, or other efforts associated with coercive power strategies.

Reflect on your own experiences by considering administrators you have worked with. How many times have people made use of each of the power strategies described here (expert power, referent power, coercive power, legitimate power, or reward power)? What are the effects that the use of one or more of these approaches to power had on your ability to serve as a professional?

Compliance Theory

Amitai Etzioni (1961) analyzed power relationships in organizations through the concept of compliance theory, a perspective that suggests that power sources should be matched with organizational types for more efficient use. Etzioni identified three major types of organizations defined by their fundamental goals as "economic," "order," and "cultural." If the primary goals of an organization are to preserve order (political, moral, financial, or any other type), for example, the most appropriate source of power might be coercive. To understand this, look at how police often make use of coercive (or implicit coercive) power in their work, which is primarily directed toward fostering order and control. In the case of schools, people make use of the value of learning and the goal is most often cultural; power might most often be defined as expert power. However, we can see where an assistant principal in charge of student discipline for a school would make greater use of coercive power according to Etzioni's theory.

Characteristics of Authority

The legitimized and sanctioned use of power normally referred to as authority may also be understood according to certain characteristics.

Authority Types

Max Weber (1947), whose definition of authority was noted earlier, suggested that there are three major types of authority used in different organizations:

1. *Traditional authority.* Authority derived from tradition. People accept the control of others because it is assumed those "others" have some sort of traditionally legitimate absolute right to exercise that authority with no challenges. In school settings, for instance, a parent may tell a child to obey a teacher for the simple reason that the person is a teacher and a teacher always deserves respect. Although this may not hold true in classrooms on a daily basis, many such forms of reliance on traditional authority types may still be seen.
2. *Charismatic authority.* Authority based on the assumption that the leader has some special gift or even supernatural powers. Examples of this type of authority are religious leaders and some televangelists, who, despite apparent inconsistencies in their personal lives, continue to attract millions of followers and their money. The leaders have successfully established in the minds of their adherents that they possess special gifts from God.
3. *Legal authority.* Authority derived from laws, policies, or statutes. Military officers have authority because such authority is decreed by regulation. As many enlisted personnel recognize, superior officers may lack identifiable skills or charisma at a given time; they are, however, in charge simply because they are officers.

Educators can use these descriptions of different types of authority to understand why we defer to certain individuals. In addition to determining *type* of authority, however, we also need to determine whether it may be *formal* or *functional*.

Formal Versus Functional Authority

Robert Peabody (1962) defined *formal authority* as authority derived from such sources as organizational hierarchy, laws, a person's position in an organization, or office. *Functional authority* comes from such things as a person's

professional expertise and competence, interpersonal skills, and the suggestion of great experience in handling a particular situation. The tendency to assume that functional authority is "softer" or "better" is really not warranted. People who exercise authority make use of both approaches. On the other hand, a person may deliberately select one strategy to effect a desired goal. A school superintendent, for example, who might normally rely on her or his formal authority to bring about changes in the behavior of the teaching staff in the district, might choose instead to seek a more indirect way to influence changes in behavior. The superintendent, in other words, might consciously seek to exercise functional rather than—or in addition to—formal authority.

Effective administrators should not necessarily shift frequently between formal and functional authority patterns. Such inconsistency would probably be unwise, if not impossible. Deliberate switches from a formal to a functional approach are often perceived by staff members as manipulative, just as a game of good cop-bad cop is a staged strategy used for manipulation. Selecting one pattern rather than the other might be impossible for those administrators who have no (or at best limited) access to formal authority strategies. The critical issue for the practicing administrator is to recognize the strengths and limitations of both formal and functional authority patterns.

Implications for Someone Becoming an Administrator

Power and authority are central themes in understanding the field you are pursuing—educational administration. It would be quite naive to think that you could take on an administrative position—whether in schools or in any other kind of organization—without being endowed with power and authority. In fact, it may be critical for you to decide if you are comfortable with being in a position of control. If you believe that you are not, you may wish to reconsider your decision to pursue a future position in school management. You cannot be a principal, for example, without being viewed as an authority figure in a school.

On the other hand, simply assuming a job where being viewed as someone with power and authority does not necessarily mean that you will have to make use of those characteristics in a wrong or negative way. Quite the contrary. By becoming the person in charge, you may find that you will be isolated from many former sources of support and understanding. Perhaps you will be able to promote many of the kinds of changes that you wished you could have promoted when you were in the classroom. An individual teacher wishing to make changes for the benefit of students can do so only in one classroom at a time. A principal can move toward more responsiveness across an entire school.

The use of power and authority is like the use of any other tool that a person might employ in doing a job more or less effectively. People will look to you as the person in charge of a school or district, and as a result, they will defer to you as the person who controls things. What you do with that status is a critical issue and one that will have a great impact on whether you perceive yourself—and others perceive you—as an effective leader rather than simply as a person who seeks power, authority, and control as ends in themselves. As with so many things that will contribute to your initial success or failure as a school administrator, your use of power and authority must be governed by your personal value system and sense of what is best for you to work effectively with the people around you.

Summary

This chapter considered some definitions of two inescapable characteristics of people who take on administrative or managerial positions. They are in charge, and as a consequence, they have authority and power, and they can control many things that go on within an organization. The goal is to promote the idea that effective leaders are those who engage in the judicious and wise exercise of power and authority in their schools.

The chapter reviewed the salient characteristics of power, including the sources of power offered by French and Raven and compliance theory as developed by Etzioni. The section dealing with authority included a brief overview of Weber's definitions of three types of authority—traditional, charismatic, and legal—and a discussion concerning the distinction between formal and functional authority. Finally, I explained how the concepts of authority and power are germane to the development of a personal vision of what it means to be an administrator.

Suggested Activities

1. Interview a group of administrators and ask them to describe the strategies and techniques they follow when they try to encourage teachers or other staff members to comply with a new school district policy. As each person in the group describes their practices, make an assessment of the types of power (according to French and Raven's conceptualization) that are being used.

2. Talk with four or five teachers and give them brief descriptions of the different types of authority presented in this chapter. Ask each person to identify situations in which they would expect administrators to rely on one or more types of authority.

8

Conflict as Part of the Job

What a day! As Kelly Marshall was getting ready to leave school, she reflected on some of the day's events. This was by no means a typical day, but it had been a day similar to many others during this first year.

First, she arrived at school late this morning—because one of her own children at home had lost the permission slip that Kelly needed to sign for her child to go on next Wednesday's field trip—and she was greeted in her office by the custodian, Al. Normally, she had a good working relationship with him. But today, Al was clearly upset because he believed that the teachers using the school last night had not put away several items taken from his storage closet, and Kelly should "get on them" for being so careless. Next, Ms. Lindsey, the mother of three children in the school, marched into Kelly's office to express her belief that the principal ought to be able to do a better job of arguing for some additional computers from the central office. After all, the Lindsey children were simply not getting the kind of education they should, in their mother's eyes. Later that morning, Kelly received a call from the superintendent, who told her that because of the state of the district budget, no further requests for instructional hardware would be accepted at the central office. Principals were all being told to explain the desperate condition of district finances to any parents with questions.

Later that day, two teachers visited Kelly to express their concern that they really wanted to become more actively involved in the planning of future inservice activities in the school. Kelly smiled at the polite request; she knew that last week's session had been a bomb, so she was happy to get some volunteers to work on future activities for the staff. However, as she left the building, another senior teacher approached Kelly to express a personal concern. He believed Kelly had been doing a good job in her first year, but she really ought to assert herself a bit more. She needed to take control and

avoid trying to do too much to please a few teachers who claimed to have the other staff members' best interests at heart by trying to control some activities in the school.

It didn't happen often, but on a few days like this, Kelly Marshall drove off, wondering if she had made the right decision by pursuing a career in school administration.

* * *

Fortunately, not every day in the life of a principal has so many twists, turns, and contradictions as this day had for Kelly. But there were some!

A great deal of pop management literature features self-improvement prescriptions for leaders to follow, and among those most frequently stated is the notion that effective managers must learn to reduce (or even totally eliminate) conflict from their professional and personal lives. This material often suggests simple step-by-step techniques, time management strategies, and other procedures that might be followed to clean up conflict-ridden lives.

These cure-all approaches for managers are amusing, for it is simply impossible to take on a leadership role in any organization and be successful without encountering and eventually confronting conflict. The more successful managers become, the more likely it is that they will experience more intense, frequent, and visible forms of conflict. Even for those not in formal organizational leadership positions, conflict is an unavoidable fact of life.

Some organizational theorists argue that conflict is not only an inevitable feature of organizational life, but it is also a desirable ingredient in functioning organizations. Life without periodic change is stagnant, and the development of conflict is one way to force necessary change. Leaders are legitimately held responsible for using organizational conflict to promote institutional improvement and growth, not for reducing or eliminating it.

The issue addressed in this chapter is not how to avoid conflict but, rather, how an administrator can minimize the negative consequences of conflict. First, we explore what conflict is, in conceptual terms, and present four different types of conflict. In the second half of the chapter, I introduce a model to help you handle conflict in your life.

What Is Conflict?

Morton Deutsch (1973, cited in Owens, 1987) noted that "a conflict exists whenever incompatible activities occur" (p. 113). For Deutsch, conflict is little more than a state of disagreement between two parties. The word can describe a range of phenomena, from a simple difference of opinion to war between nations. Kenneth Boulding (1962) suggested that the factor that distinguishes types of conflict is the amount of hostility present in the dis-

agreement. Conflict between two people who want to drive cars in the same space on an expressway may range in potency from simple annoyance (low hostility) to the violent and destructive behavior seen recently in some cities where drivers have shot at one another (extremely high hostility). We cannot avoid this kind of conflict entirely unless we decide never to drive. Many of us must drive on freeways to get around. Therefore, we must put ourselves at risk to encounter conflict. The key is to remain at the *annoyance* or low end of the continuum.

Owens (1987) further distinguished between low and high hostility events by noting that the major difference

> lies in the motivation behind them, often not easily discernible. Although considerable (and often vigorous) conflict may erupt over such issues as improving school performance, ways of desegregating a school system, or how to group children for instruction, the parties to the conflict may well be motivated by essentially constructive goals. The key is whether or not the parties involved want to work with the system or are motivated by a wish to destroy it. (p. 246)

If conflict is an inevitable organizational reality, what effects will it have? Obviously, there may be good or bad consequences of any institutional characteristic, including conflict. When disagreements (marked by either high or low hostility) occur, two things may happen. The lack of consensus may lead to improvement in the organization, because communication takes place and compromise or further appreciation of opposite views is achieved. In this case, the consequence of conflict might be described as "good." On the other hand, disagreement may result in polarization of viewpoints, the end of communication, and personal animosity among members in the organization. Here, the results of the conflict are clearly "bad." The responsibility of the leader, particularly an effective educational leader, is to guide the conflicts that will always be present toward a lower level of hostility and therefore toward a higher probability of serving as a positive force within the organization. To try to avoid or eliminate conflict is, simply put, to avoid a legitimate administrative responsibility, and the results of such an activity will almost always be negative. For instance, think of the school principal who wants to avoid conflict and sits in an office all day with the door closed, shutting out the potential disagreements taking place in the corridors and classrooms. This behavior may be satisfying to the principal, whose blood pressure does not rise in response to the events taking place outside the office, but its consequences to the organization, which consists of both children and teachers, are ultimately negative; opportunities for growth through the resolution of conflict are lost. In short, schools where the principal's door is closed are rarely exciting places. Administrators need not

necessarily deliberately stir up conflict, but when conflict occurs, no effective leader should run from it.

Assess your personal stance regarding your comfort with dealing with conflicts in your professional life:

Sources and Types of Conflict

Effective administrators need to understand two additional dimensions of organizational conflict: the sources of conflict and types of conflict most frequently faced by educational administrators.

Sources of Conflict

Educational administrators typically face conflict from three sources: within the organization, outside the organization, and within themselves. Robert Owens (1987) defined the sources of conflict as follows:

> Conflict can occur within persons or social units; it is *intrapersonal* or *intragroup* (or, of course, *intranational*). Conflict can also be experienced between two or more people or social units: so-called *interpersonal*, *intergroup*, or *international* conflict. (p. 92)

The only conflict described above that does not appear in the school leader's life is international, although even in this category there may be situations in which conflict is felt by administrative personnel.

Administrators can use certain strategies to identify ways of reducing the negative consequences of conflict. Fundamentally, the effective educational leader is one who develops the capacity to remain aware of what is occurring within the organization so that potential conflicts may be identified in advance wherever possible. Developing a sensitivity to potential conflicts both inside and outside the organization does not guarantee the prevention of future conflict, but it does ensure that the administrator will not be surprised

(or frustrated) when something happens. There will never be, for example, a school in which every teacher gets along with every other teacher or is totally satisfied with every administrative decision. When a leader makes a decision, someone will probably disagree. Poor leadership is anticipating neither the likely source nor the potency of a conflict that a decision will engender. Effective leaders have a sense of where the land mines are located, not in order to defuse them all in advance but rather to find a path between them that will cause the least damage.

Types of Conflict

Organizations are best understood as the products of an ongoing and dynamic interactive process involving individual and institutional issues. In this effort to match the needs of the organization with those who work in them, four major types of organizational conflict often emerge: interrole, intrareference group, interreference group, and role-personality conflicts.

Interrole conflict is the "disagreement between two or more roles simultaneously fulfilled by one person" (Lipham, Rankin, & Hoeh, 1986, p. 137). The administrator feels the effects of trying to wear too many hats. Principals work many hours each week. They also try to have personal lives. Often they have families, and children at home demand many hours of attention. While these issues are present in their lives, many principals are also enrolled in university graduate programs. In their spare time, those same individuals may be involved with civic groups, religious activities, or an array of other things that take their time and attention.

Such situations where people are trying to juggle several balls at once are by no means infrequent. Most of us occasionally find that we have more commitments than time, and we sense some degree of interrole conflict. The more competent we are at what we do, the more likely we are to feel this kind of pressure. The conflict almost serves as a kind of recognition of ability. Nevertheless, the consequences can be quite negative. Important jobs are not completed, psychological stress and physical stress intensify, and our ability to fulfill responsibilities in many areas is greatly impaired. Steps can be taken to reduce this type of conflict as well as its negative consequences.

People facing interrole conflict need to take stock of their various competing personal and professional commitments, set priorities, and decide which activities can be removed from their personal agendas. Must a person sing in the church choir while taking graduate courses, or can solos be completed after the degree? Sometimes, activities that are important must be dropped, at least temporarily, to provide time for activities of greater personal and professional value.

Another way to reduce interrole conflict is to engage in time management activities. Larry Hughes (1984) provides a plan that may be quite useful:

1. *Analyze your job* to clarify precisely what it is you are supposed to do in a particular setting. Formal job descriptions should be viewed as starting points in determining what is *really* expected in a school or district.
2. *Determine the difference between managing and doing.* Remember that efficiency (doing things well) must be consciously combined with effectiveness (getting the right things done well).
3. *Set personal goals and objectives* and develop strategies for achieving them. Define the goals precisely enough so that they may serve to guide continuing behavior.
4. *Conduct a personal time audit* as a way to see how you have really been using your time.
5. *Avoid interruptions on the job.* Watch out for drop-in visitors and unwanted telephone calls that divert you from your focus on effective use of available time.
6. *Delegate.* Organize yourself, your subordinates, colleagues, and bosses to accomplish necessary work most effectively.
7. *Plan and conduct effective meetings.* Meetings should serve the needs of the organization and the people who work in it, not be roadblocks to the effective use of time. Consider how meetings might be arranged to reduce interrole conflict.
8. *Organize productive committees and task forces.* A primary cause of interrole conflict is that one person tries to do too many things. Increase effectiveness not only by delegating particular responsibilities to others but also by assigning tasks and projects to well-organized committees. Consider how others in the organization might be enlisted to reduce competing demands.

SOURCE: from *Developing Skills for Instructional Supervision* by J. M. Cooper (Ed.) 1984. Reprinted by permission.

No matter how efficient your use of time management techniques, you can gain ultimate control over your commitments and the dysfunction caused by interrole conflict only through reviewing and assessing the personal principles that guide your choices. No one person can do everything. At some point, you will need to decide which involvement is most important and which ones can be ignored.

Identify some examples of interrole conflict that you now face, or have faced, in your professional life.

Intrareference group conflict is "conflict or disagreement within a reference group in their expectation for the role of the administrator" (Lipham et al., 1986, p. 137). The administrator is caught in a crossfire. For example, the principal might be perceived by many teachers to be a "lead teacher" whose primary interest is to find fault with the teachers and other staff members. No clear, common vision of the role of the principal exists among the staff members, and intrareference group conflict may well be the result.

Interreference group conflict is the "disagreement in two or more different reference groups in their expectations" for the role of the administrator (Lipham et al., 1986, p. 142). Here, the administrator is caught in the middle. A principal, for example, who visits teachers in their classrooms may be seen by these teachers as a trusted colleague. The same principal may be directed by administrators in the central office to get the dirt on ineffective teachers in the school so that dismissal proceedings can be initiated. The same administrator is expected by the central office, on the one hand, to engage in *administrative inspection* but, on the other hand, to provide *human relations* management for the teachers. This is a precise and not uncommon example of interreference group conflict.

Conflicts that arise from an administrator's relationship with groups can be particularly frustrating and damaging to leadership effectiveness. When groups have differing ideas about how a job will or should be carried out, the conflict is rooted in the expectations of others; it is beyond the administrator's immediate control. Nevertheless, some techniques can help reduce the potentially negative consequences of conflicts involving groups.

Many group conflicts can be headed off if jobs are precisely defined before they begin. What are the formal stated expectations of an assistant principal? Is the person supposed to focus on one area, such as student discipline, and leave everything else to the principal or other assistants? Or is the new assistant principal supposed to be a generalist, who works with the principal in a variety of administrative responsibilities and tasks?

Group conflict can also be reduced if the individual administrator has a well-developed concept of what it means to be an administrator. Again, there is no real substitute for a well-articulated educational philosophy. People can rarely be forced to juggle many competing expectations for a job if they have clearly defined our own role. This personal clarity may have the immediate consequence of angering some people in the organization who do not appreciate the administrator's self-definition of role. This anger will typically be short-lived, however, and considerably less dysfunctional over time than chronic uncertainty over what is proper behavior in a job.

Provide some examples of interreference and intrareference group conflict you have experienced directly or have seen others experience in their professional roles.

Finally, role-personality conflict is the misalignment between the requirements for doing a job and the person who has been selected to do the job. In many ways, this may be the most frustrating conflict of all, because it suggests that a person has made an error in judgment by selecting the wrong career path. An example is a teacher who decides to leave the classroom for an administrative post, on the basis of an assumption of what the role responsibilities of the job will be, only to find out that the assumption was incorrect. The new administrator might simply decide to return to being a teacher, but going back may prove to be extremely difficult. A teacher who goes into an administrative position has typically invested a lot of time and money in additional university courses and has moved into a position with greater financial rewards. Turning away from the new status and prestige of a leadership role may be next to impossible—achievable, certainly for some, but hard for most.

Again, there are ways the negative impact of this kind of conflict can be reduced. It is important to pay serious attention to the nature of a position before assuming it. One needs to question and review the motivations that underlie the choice of a new career. Are expectations realistic? Do assumptions match actual tasks performed?

Those who are responsible for training people for new roles also have an opportunity—and a responsibility—to acquaint applicants with the realities of their intended positions well in advance of a move. Apprenticeships, training in clinical settings, and numerous other forms of field-based situations may help people understand their roles before assuming new jobs on a full-time basis. Architects serve full-time apprenticeships and physicians do residences and clinical internships. In professional education, aspiring teachers must take part in student teaching, and increasingly, future administrators engage in internships, planned field experiences, and numerous other activities that allow them to taste the new job before coming on board permanently. The primary purpose of these activities is to help people learn

how to use certain practical skills related to the effective performance of their jobs. A preservice practicum is equally important: It allows people to see and try a new job in a low-risk setting. As a result, no loss of face is attached to a decision not to pursue a career that has been based on actual experience rather than on false expectations. Preservice tryouts provide opportunities for people to drop out before experiencing the type of role-personality conflict that damages not only the organization but also the future administrator. Those responsible for such programs must emphasize and safeguard their low-risk status and must nonjudgmentally condone the decisions that some participants may make not to continue.

In what ways have you tried to learn as much as possible about your choice of career as an educational administrator, so that you might avoid serious role-personality conflict in the future?

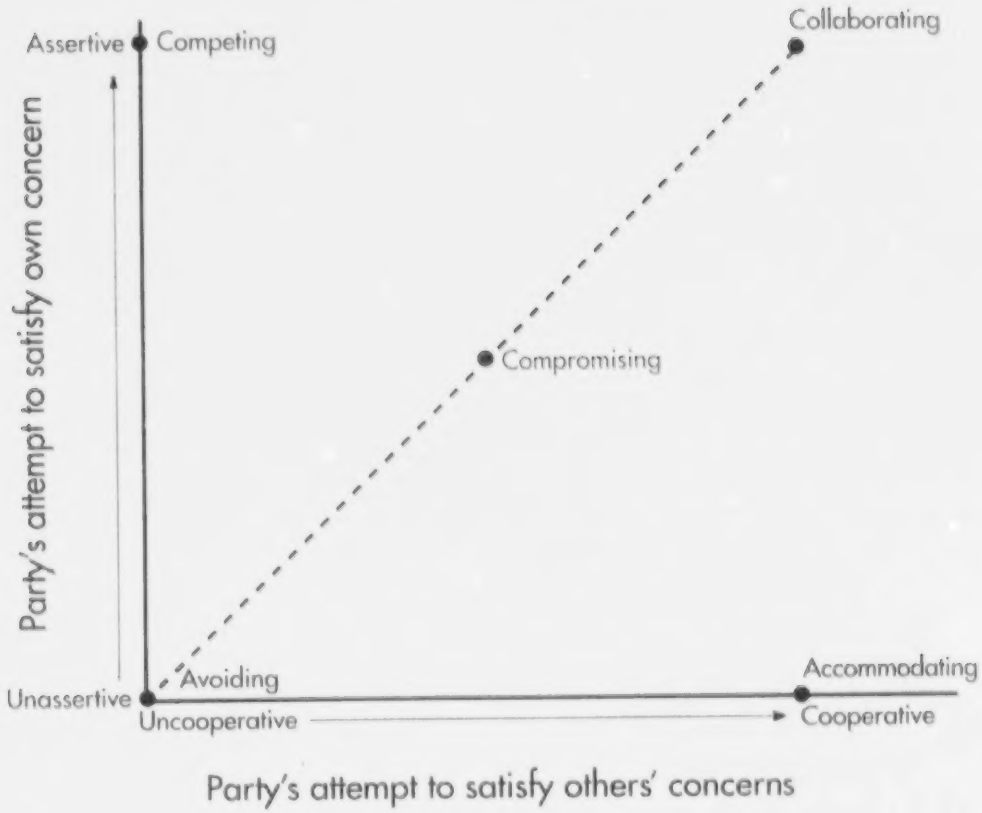
Conflict-Handling Styles

We have reviewed techniques for reducing personal and group conflict and for decreasing the potential negative impact that such conflict may have on the overall organization. In addition, the destructive power of conflict can be reduced by further analysis of the nature of conflict and how people address conflict situations in their lives.

A widely used diagnostic procedure for analyzing organizational conflict is a model that assesses the nature of conflict-handling styles. The model, first designed by Kenneth Thomas (1974), suggests that people react to conflict settings in one of two ways: (1) They deal with conflict assertively, by becoming aggressive and protective of their own needs, rights, and interests, and they exercise their own needs above those of others, or (2) they deal with conflict cooperatively, by playing down their own needs and trying to satisfy the concerns of others. Figure 8.1 illustrates how conflicts can be handled along a continuum, from addressing one's own needs to addressing the needs of others.

As the Thomas model suggests, people engage in five different types of behavior: avoiding, competing, collaborating, accommodating, and compromis-

Figure 8.1 Handling Conflict Styles Model



SOURCE: Reprinted with permission from NTL Institute. Power and conflict in the student-teacher relationships by D. W. Jamison and K. W. Thomas, p. 326, *Journal of Applied Behavioral Science*, Vol. 10, No. 3, Copyright 1974.

ing. The three points at which there is a balance between equal efforts toward assertiveness and cooperativeness are represented by the points along the dotted line: avoidance, compromise, and collaboration. Robert Owens (2000) describes these points in the following ways:

- *Avoidance* (low assertiveness and low cooperativeness) suggests withdrawal, peaceful coexistence, and indifference. Avoidance is useful when (a) the latent conflict probably cannot be resolved ("live with it") or (b) the issues are not so important to the parties as to require the time and resources to work them out. As Blake and Mouton (1964) point out, avoidance can serve as a form of cease-fire. Ultimately, however, this is not a valid way to deal with unresolved conflict; it only serves to suppress conflict momentarily.

- *Compromise* (medium assertiveness and medium cooperativeness) suggests splitting the difference. Compromise has some elements in common with collaborative problem solving: (a) The parties must be willing to engage in the process, (b) there is some move toward collaboration, and (c) the process is basically conciliatory and not in flagrant conflict with the organization's well-being. Compromise is useful because it does not represent an effort to find a set of long-term behaviors that will reduce conflict, but it essentially looks at the parties in conflict as adversaries. Compromise does not move toward resolution; it tries to keep a lid on a problem.
- *Collaboration* (high assertiveness and high cooperativeness) suggests that the conflicting parties work together to define their problems and then engage in mutual problem solving. This process requires that (a) the parties involved must actively want to use problem-solving techniques and (b) the parties possess the necessary skills for communicating and working in groups and attitudes that support a climate of openness, trust, and frankness with which to identify and work out problems.

Thomas's model does not provide a prescription for dealing with conflict. Indeed, there is no suggestion that one conflict-handling style is necessarily better than others all the time. On the contrary, the model suggests that a wide range of behaviors may be needed to deal effectively and positively with whatever conflicts arise in the life of the educational leader.

Review the various approaches to conflict handling proposed by Thomas's model. Indicate how you have personally approached conflicts in your work life according to each of the three major styles described here:

Summary

Conflict is a very real—and unavoidable—part of organizational life. Because conflict is inevitable, administrators need to know how to work with or reduce conflict, not how to totally eliminate it from their lives.

Conflict was described simply as disagreement between two parties. Conflict becomes more intense with the introduction of additional emotional commitment and hostility, so an important administrative skill is the ability to reduce the emotional level of all conflicts. In this chapter, typical sources of and types of conflict were presented, and I offered suggestions about how each type of conflict might be rendered less harmful. A key element is the administrator's ability to know his or her educational platform. The chapter concludes with an explanation of Thomas's theoretical model, which was designed to help people diagnose the nature of the conflict they may experience in their personal and professional lives.

Suggested Activities

1. Using the list of time management techniques suggested by Hughes, compile a survey questionnaire and distribute it to a number of administrators in your district. Ask people to check the items they do exceptionally well and also the items they do not follow. See if any patterns emerge in the responses.

2. Find examples of conflict that were printed in the local newspaper over the past few days. Classify these conflicts according to the typologies presented in this chapter.

3. Use the concepts found in Thomas's model of conflict-handling style and ask a group of teachers and administrators to estimate the predominant strategies they use, according to the model, when faced with conflict in their professional lives. Do the same regarding personal conflicts. Are there differences in how people believe they handle conflict *at work* as contrasted with *at home*?

Additional Readings

Blake, R. R., Shepard, H. A., & Mouton, J. S. (1964). *Managing intergroup conflict in industry.* Houston: Gulf.

Likert, R., & Likert, J. G. (1976). *New ways of managing conflict.* New York: McGraw-Hill.

Thomas, J. M., & Bennis, W. G. (1972). *Management of change and conflict.* Baltimore: Penguin.

9

Who Runs the Schools?

It was clear to everyone that Kelly Marshall was upset about something when she stepped out of her office. She had just gotten off the phone with Tom Ramirez, assistant superintendent for operations for the district. She had always seen Tom as a good guy who had been very helpful to her throughout her rookie year as a principal. He frequently helped her with learning the system so that she wouldn't look like the beginner that she really was. However, her recent conversation with Tom caused Kelly to step back a bit and think about how Tom and others in the district were really working with her.

The gist of the phone call was that Tom wanted to relay some concerns to Kelly about a "few things that have come up recently." He said that the superintendent "has gotten phone calls about some things that were happening over at Kelly Marshall's school." When Kelly pressed for details, Tom noted that it had to do with "a few complaints board members had gotten from some teachers who didn't like the way the new principal was listening to 'whining' parents. They believed, for example, that the new tutoring program for children with reading deficiencies was asking teachers to spend too much time teaching before and after the school day, as defined by the union contract."

Kelly was really shocked, because she had received no other criticism from her staff, the parents, or the community in general. In fact, she had been pleasantly surprised that to this point in the school year, she had not had any experience with some of the horror stories she heard from experienced principals in the district during the year. Tom appeared to be an ally, but this revelation made Kelly begin to wonder.

One of the fundamental assumptions of U.S. public education has always been that the control of education is a state function, with the related belief that local control over schools is a sacred tradition. In other nations of the world, educating children is generally seen as a responsibility of national governments. In the United States, actions and decisions made by the federal government have an enormous impact on many school programs and practices. But no one in Washington, D.C., makes policy about the conduct of schools in each of the 50 states. And with the exception of Hawaii, which has only one school district for the entire state, all other states delegate the daily operational control of public education to local school districts, each of which has either elected or appointed governors or boards of education. The result of this decentralized control is that the answer to the question in this chapter's title is ambiguous. In fact, everyone runs schools, but then again, no one single person or group runs schools. As a school principal, this fact will hit you many times.

Kelly, like most beginning administrators, has quickly learned a huge paradox that must be faced throughout an administrator's career. On the one hand, as noted in Chapter 7, administrators are hired to control a school. They are leaders, and they are selected above others because they have been identified as having the skills and talent needed to ensure that the school operates effectively and efficiently. Being an administrator and having control over people, events, and workflow are synonymous.

At the same time, however, school administrators are constantly aware that their power and control are far from absolute. As the scenario opening this chapter shows, at any moment school principals are likely to be reminded that many other factors may step in to burst the bubble of anyone who truly believes they are "in charge." In this case, Kelly determines that the central office, some board members, and a few (or is it a lot?) of her teachers have a mind of their own regarding who should make certain decisions in the school. All of this clashes with conventional wisdom, which holds that the principal of a school is a key decision maker who will either make or break that school.

This chapter takes up the issue of who is really in charge of U.S. public schools. As is true of many of the issues considered throughout this book, no effort is made to "solve" this problem. Many realities become evident to those who first walk into a principal's office, and little can be done to change those things. Instead, the purpose of this chapter is to alert you to some of the critical people and groups that are likely to enter your professional administrative world and challenge you for control.

Teachers' Groups

Ever since the beginning of the 20th century, teachers have been working toward finding formal ways of ensuring that their chosen career will enable

them to enjoy comparable wages, benefits, and working conditions as those who select other professional paths. Whether or not this pursuit has been successful can and will be debated well beyond the confines of a few pages in this book. Furthermore, the focus here is not on taking a stand as to the value or "goodness" of teachers participating in labor unions, professional associations, or other movements designed to promote the voice of teachers as workers in schools. In fact, the issue of teachers' rights to engage in collective bargaining and free association is one that is defined at the level of each state. In some states, such as Pennsylvania, Ohio, Wisconsin, and New York, public school teachers are clearly and legally defined as public sector employees. As such, they are protected by state statute that guarantees them certain rights to bargain for wages, benefits, and other conditions of employment. Avenues to address grievances are also spelled out clearly in law, including cases where work stoppages (strikes) may be permitted under certain conditions.

In other states, often referred to as "right to work" states, teachers and other public employees are expressly prohibited from engaging in collective job actions that may interfere with the conduct of any activity defined as an essential part of daily life for all citizens. Thus, firefighters, police officers, state and local government workers, and public school teachers do not have the right to engage in work-stopping activities. In fact, local school systems in these states are under no obligation to engage in any collective bargaining activities with teacher associations or unions. It may be permissible, however, for teachers to form associations and alliances among themselves for the purpose of engaging in collective dialogue and consultation with employers concerning needs and interests common to all group members. As a result, teachers in right to work states are permitted to engage in collective activities designed to enable them to develop agreements with local school boards concerning such issues as annual salaries, salary increases, and fringe benefits.

Regardless of whether you will serve as an administrator in a state where teachers and classified staff belong to unions or you work somewhere in which educational employees join voluntary associations, people who work in your school have an understandable interest in their world of work.

Some things are not controllable by you, except in a very minor way. For example, teachers are not likely to walk into your office and ask for a raise. Neither will your custodians, clerical workers, or food service employees. Salaries and wage rates are set by school boards, and individual principals have little control over such matters. Nor can you change the nature of a person's retirement plan, health care coverage, or the number of days guaranteed for annual sick leave and vacations. On the other hand, you may and probably will be called on from time to time to make a decision concerning extra duty time for teachers who might be called on to monitor student tests on a weekend, supervise a school activity, or even coach a sport. You might

also be asked to determine if your senior clerks can be provided with overtime pay or comp time at certain times of the year when they are asked to work hours beyond the normal contract school day.

Where you are more likely to be challenged by teachers and other staff members is in the gray area of employment: working conditions. To what extent, for example, must you consult with your teachers regarding changes in instructional practice, curriculum, or the selection of textbooks and other instructional materials? Many states now have mandated the creation of building-level committees designed to bring administrators, teachers, staff members, parents, and community members together periodically to engage in shared decision making, but these groups often do not address the need of teachers to talk about matters of concern to them. In theory, at least, these types of arrangements are designed to ensure that all stakeholders have an opportunity for input into the operation of local schools. Local advisory committees, campus improvement teams, site-based councils (or whatever names are used), however, are not always appropriate mechanisms to represent the needs of all people who have an interest in schools. As a principal, you will quickly understand that teachers often have daily concerns not shared by parents, custodians, or local business owners. For example, teachers are understandably more concerned about changes in class schedules, room assignments, duty schedules, and many similar issues that do not necessarily affect most community members or parents.

The bottom line is that you need to keep in mind a number of general principles based on the following observations:

- It is your responsibility as a campus administrator to be aware of all items in any contract or negotiated agreement designed to define the conditions of work for your teachers and staff. Even if you disagree with certain provisions of the agreement, you are bound by the terms that are in print and agreed to by your board of education.
- You need to develop a clear understanding of what is nonnegotiable and what is the responsibility of administration alone. For example, many contracts make it quite clear that no one other than the principal or assistant principal may participate in the evaluation of teachers. Even though some may suggest that such a statement denies opportunities for teachers to grow through peer coaching and supervision, it must be made clear that when it comes to the actual evaluation of teaching performance, the principal and other campus administrators have this responsibility.
- Teachers have a legitimate voice in many of the daily operational issues in a school. This does not mean that you turn over the school to the teachers. After all, you will be held accountable for what takes place in your school, and you have a duty to retain necessary control. But also understand that the best schools are those in which ongoing cooperation

is present and confrontations between administrators and teachers are rare.

- Good things are likely to happen in a school when good ideas are heard. Teachers have many good ideas.

In your experiences as a teacher, what are some of the ways you wished you could have been heard more effectively by principals and other school administrators?

As a principal, how do you plan to take steps to ensure that your teachers will feel that they are involved effectively in the activities and decisions of your school?

Parents and Community Groups

As a principal, you have an important responsibility to work effectively with parents and community members. After all, you must rely on mothers and fathers and other family members to serve as primary educators for the majority of your students, realizing, of course, that traditional definitions of parents and families are becoming increasingly rare. And working with other representatives of surrounding communities is a central reality of working in any public organization such as schools. Having made these observations

does not make it any easier to deal with demands from each of these groups once you step into your office as the new principal.

Parents

Principals generally encounter parents in one of three different ways:

1. One way is as members of organized groups designed primarily to support the goals and activities of the school. Included here are groups such as parent-teacher associations, organizations to support bands and sports teams, and increasingly, as regular members of local, site-based, decision-making teams or councils. For the most part, these types of parent groups are benevolent supporters, but typically, because of a desire to support, they are quite focused on special interests. Band boosters do whatever is necessary to provide time and financial resources to the school band. Parent-teacher associations provide support for numerous activities involving students, although a common criticism of PTAs is that they operate with little recognition of the needs of students outside the mainstream. The challenge faced by principals is to recognize that groups often have special interests, but these interests are rarely such that they cannot be brought together to support the mission of an entire school.

2. A second group of parents pose a very different challenge to administrators. In these groups, parents come together largely as a result of momentary issues or causes and are often quite critical of some aspect of school practice. An example might be parents who come together to protest a policy or practice in a school or district such as the adoption of a new sex education program. Parents might form a coalition against a school district's prohibition against football players having public prayer services before each game. Such parental protests cause principals and other school administrators a considerable amount of grief and frustration. However, when parents get together to challenge certain decisions or school practices, it also means that they care about what is going on in their children's school.

3. The third type of parental contact is truly a daily feature of life in public schools: It involves the concerns of individual parents. These matters are not brought forward by groups of parents who share concerns about specific practices or issues in a school, whether real or imaginary. The diverse issues raised by individual parents include perceptions of unfair grading or other practices by individual teachers, lack of playing time on the junior varsity teams (basketball, soccer, tennis, hockey, etc.), alleged inappropriate teacher behavior with children, and just about any other imaginable situation in a school. Elaine McEwan (1998) notes that the sources of those

parental concerns are based on several conditions found in schools. Five of those conditions are highlighted here:

- *Communication problems.* Parents want to know what is happening in their local school for a simple reason: Their children attend the school. As a result, principals and assistant principals need to inform parents often, accurately, and directly. Administrators also have two other critical communication responsibilities: They must actively solicit input from parents regarding school matters, and they need to ensure that parents are informed by all school staff members.
- *Broken promises.* When a father or mother hears that some specific action will be taken to correct a matter of concern, they want the promise kept. As a result, administrators need to be careful about what they say will be done to address any concern. And the actions promised must be reasonable and doable. If a parent demands that a teacher should be disciplined for doing something to his or her child that the parent feels is unfair, the principal cannot promise any specific action until all facts related to the allegation are known.
- *Double-talk and wagon circling.* When a parent takes the initiative to go to a school to register a complaint, it is because there is a sense of urgency about the concern. Thus, if an administrator says in response to a complaint that he or she is not permitted to do much because of a district policy, parents often hear this as an excuse and an unresolved problem. Again, the principal cannot promise to do more than is feasible. But an irate parent at least wants a promise of an investigation of the matter without unwarranted delays.
- *Use of educational jargon.* To put it simply, parents get disturbed when they are treated as if they are fools. And often such a reaction comes when educators fall into their own world of educationese and jargon. Lawyers, physicians, and computer technicians do the same, of course. But as leaders of schools, principals have a special responsibility to avoid obscure language that will either prevent effective dialogue with parents or intimidate noneducators.
- *Lack of respect for parents.* Perhaps the single most aggravating factor felt by parents who are upset with schools is that educators simply do not value the concerns, hopes, fears, and input from mothers, fathers, and other family members. This is particularly recognized in interactions between administrators and economically disadvantaged parents or with people who do not necessarily enjoy a formal education. The temptation to patronize people is great to some, but when it occurs, it is a huge problem for promoting effective relations with parents and others.

These are but a few of many conditions reported by parents that have the potential of destroying effective interaction between schools and critical partners who have a right to ask for a voice in schools.

Community Members

In addition to the need to be sensitive to legitimate input by parents, school principals also need to find ways of including an array of other community members. All local citizens have a right to seek to influence public schools, and to deny the fact will present enormous difficulties for the principal or any other school leader. Local business owners, representatives of different agencies, and public officials will all demand part of your attention. As is so often true about much of your work as a principal, many people will know how to do your job better than you do.

Regardless of whether you are working with parents or other members of your school's community, there are certain assumptions and observations that warrant attention:

1. Schools are referred to as "public institutions" because they are meant to be open to the public. It sounds like a simplistic or even silly observation, but a principal cannot ignore that reality.
2. Parents are not enemies of your authority. For the most part, concerns are legitimate because they come directly from the perceptions of people with a powerful stake in what goes on in your school. Rather than finding ways to "deal with parents," effective educational leaders develop ways of drawing parents in as partners in the educational process.
3. Community members who do not feel welcome in a school can become powerful enemies. On the other hand, when the community is drawn in, it becomes a powerful ally.

As a classroom teacher, how have you been able to form effective relationships with parents of your students? How might you use these same approaches when you step into an administrative position?

How have you had success in working positively with community members? How will you apply these strategies when you become a principal?

School Boards

When discussions take place regarding control of schools, attention inevitably turns to the nature of school boards and how these lay governing bodies interact with the practices of local schools.

One of the unique features of U.S. public education is that our schools are locally governed. As I noted earlier in this chapter, there is no formal federal control of schools, a reality based on the absence of any defined responsibility related to education in the U.S. Constitution (Campbell, Cunningham, Nystrand, & Usdan, 1995). States, therefore, assume the responsibility of ensuring that free, public education is provided to citizens within their boundaries. Each state develops policies related to the conduct of educational practice. This includes such matters as the number of local school districts within a state, whether board members are to be appointed or elected, grade levels to be included in a district (elementary, middle, secondary, or all levels), and funding arrangements.

Once school boards are convened according to the parameters established by each state, they develop broad policies to guide the daily activities of public schools. They are not supposed to manage schools on a daily basis. Perhaps the most important activity that any school board is empowered to carry out is the recruitment, selection, and periodic evaluation of a chief operating officer, who is typically referred to as the superintendent of schools. This person is employed to carry out such things as preparing an annual operating budget to ensure that sufficient resources are available for the schools. A prime responsibility of the superintendent is to select and

evaluate personnel employed by the school board to ensure that the primary function of a school district—the operation of public schools—is carried out in an effective and responsible fashion.

If school boards typically functioned in the way outlined above, it would be unlikely that many conflicts would occur in the lives of public school educators. However, one of the most frustrating realities faced regularly by educators, particularly building-level administrators, is that school boards often stray beyond the boundaries of their traditional assigned duties in policy development. Instead, as will be described further in Chapter 10, board members often engage in direct management, or micromanagement, of the daily activities of schools and districts. Instead of allowing Kelly Marshall's superintendent to work with her as a principal, they often try to influence an individual administrator's actions by intervening directly in the decisions made at a campus. So, for example, if some teachers are unhappy because Kelly has tried a new curriculum, organizational pattern (e.g., block scheduling), or even hired a new teacher who is objectionable, they may decide to go over Kelly's head and complain directly to the school board. This in itself is not a problem. However, when the board, as a group or as individual members, chooses to entertain the complaint and act without the involvement of its superintendent, there is a problem. If Kelly learns through the grapevine that the board is unhappy because some of her teachers are not pleased, what is she to do if her boss, the superintendent of schools, does not also communicate her or his concerns?

Sources of Problems

The issue of school board micromanagement (or "intrusion into administrative practice") and legitimate authority for the daily operation of schools is a long-standing concern in schools. As a principal, you are not going to be able to alter this fact. It comes with the turf, to a large extent. The possibility of abuse is one of the prices paid in an educational system that is truly open to all children and one that espouses the value of democratic citizen control. All educators hope for wise and informed policy makers who will guide the course of education in their school districts. Fortunately, that is what is found in the majority of school systems. But in some cases, you will be called on to attempt to guide the educational program of your school in an environment where boards of education engage in practices that impede your best efforts.

Several explanations are possible for why board members sometimes step over the line in their duties:

1. *Board members do not understand their roles and function.* Becoming a school board member means assuming an important role in society. But by its very nature, it is not necessarily meant to be a position of control or great

authority. School board members are elected or appointed to be guardians of the public's interest and trust in a local system of public education. On occasion, board members may believe that they fulfill an executive function and seek to guide the daily operations of their districts, but that is not what they are legally empowered to do. The most important responsibility of a board of education is the selection of a superintendent. As a principal, therefore, your responsibility to the school board is to carry out the directives of the superintendent (or his or her designee) in managing and leading the daily work of your school. Teachers are expected to follow the reasonable and proper directives of their campus principal.

When a school board member becomes directly involved with an operational detail in an individual school or the concern of a single teacher (or group of teachers) in an individual school, the proper operating cycle begins to break down. The teachers in Kelly's school, who expressed their concerns to school board members, who then directed a central office administrator to contact Kelly, breached the policies that should be followed. Unfortunately, the individual principal has little ability to do much about such a situation if central administration chooses to avoid any confrontation with the board members. This may be one of the most critical points in your career: to reflect carefully on the nonnegotiable values expressed in your individual educational platform.

2. *Board members become advocates of single issues.* The classic study by Luvern Cunningham and Joseph Hentges (1982) notes that citizens decide to pursue the position of school board member for one of three very common reasons:

- They see service as elected school board member as a possible first step to later, more prominent elected positions and public office.
- They do it out of a public-spirited sense of service. Serving on a school board is a relatively thankless task, but someone has to step up for the benefit of children.
- They represent special interest groups with an ax to grind against the superintendent or other employees of the school system.

Of these three motives, the most problematic for you as a building principal may be the third one. In the majority of cases in which an individual school board member (or subgroup of members) engages in activities designed to try to persuade or dissuade an individual principal from pursuing their job responsibilities, this intervention is often based on board members becoming advocates of single issues. For example, the local high school has a losing basketball season. Parents and community members are upset, and they contact one or more board members to convince them that the "problem" is the new basketball coach. In turn, board members try to put pressure on the

superintendent or the high school principal to fire the basketball coach. Another example might be board members being recruited as allies of teachers who are opposed to the adoption of a new inclusion program for children with special learning needs.

Ideally, board members realize that they are not meant to take up special causes proposed by one segment of a community. They should be concerned about policies that are focused on the broader needs of the entire school system. But as a principal, you will quickly learn the difference between what boards *should* do and what they actually do in practice.

3. *Board members are naive.* This observation has nothing to do with school board members' level of intelligence or level of sophistication. After all, many board members across the United States also have businesses or successful professional practices in addition to their school district service. But one of the more frustrating things a campus administrator is likely to experience is board members who do not appreciate the implications of what they wish to propose. Consider the real-life example of the board in a large urban district that recently formulated policy to mandate that all children in the district be able to read at a second-grade level at the end of first grade. Such a statement, though intended to ensure that all students make reasonable progress even in their earliest years of schooling, did not take into account any recognition of research and practice in the complex field of literacy development or in individual differences among students.

Have you any additional examples of cases in which school boards proposed the adoption of policy that was naive, although with good intentions? What have been the consequences of these policies?

One way that such practices can be controlled is for superintendents to accept the need for their intervention in the development of policy by board members. In most cases, school boards are comprised of citizens without formal training or experience as professional educators. It is critical that superintendents, as the chief operating officers of a school system, intervene in cases where the naiveté of the board is a problem. Unhappily, many

superintendents step away from such responsibility out of a fear that any effort to correct board members might be seen as grounds for dismissal. As a building principal, you then suffer the results of such complacency.

4. *Board members do not understand the concept of collaborative, as opposed to individual power.* This is a classic case of a school board member not truly understanding what it means to be a member of a *governing board* rather than an individual *governor.* It might be a situatic a faced by numerous principals each year who are visited by individual board members suggesting changes in practice at an individual school. Principals are asked to afford special privileges to individual teachers, parents, or students based on requests from these constituents. Often, these requests are contrary to established district policies. For example, an individual board member, besieged by requests from local band booster parents, might ask that the principal grant an extra day of "excused absence" to band students prior to the day they will participate in some competition. As principal, you may appreciate and even applaud the spirit of such a request. But it may also clearly fly in the face of districtwide policy delimiting the number of approved absences available for any school-related activities.

Can you think of any specific examples in which an individual board member has tried to promote unilateral policy rather than policy of the entire governing body of the school district?

School board members do become overly zealous in their efforts to promote individual agendas. They often overextend their authority in terms of an ability to represent realistically what they can or cannot do as a single member of a board comprised of 5, 7, 11, or more members. Often, school board members fail to appreciate that the board of education is the official governing body. Individual board members have no statutory authority to make policy in any state. This is a critical issue to recall when, as a principal, you

feel compelled to respond to "suggestions," "advice," or even full-blown proclamations by a single board member.

Summary

This chapter provided different answers to a question that you will think of frequently as a school principal: Who *really* runs the school? You, of course, will be the official and formal administrator and manager of the campus. As such, it is your duty to ensure that the campus operates efficiently and effectively. But you will quickly appreciate an important reality of service as an administrator in public education: There are a lot of people who want to be "in charge" in your world.

Among the groups identified and considered in this chapter are teachers and teacher organizations, parents, community members, and boards of education. Many additional actors could be included in this list. Regardless of all of those who might be mentioned as educational stakeholders, one basic reality must be appreciated: Although there is no doubt that your role as an individual school principal is critical to ensuring effective practice and learning for your students and teachers, that fact must always be moderated by reality. You work in a school system, and as a result, you have administrators who define your work life. It is a public enterprise, so you have elected (or sometimes appointed) governors who establish broad policy and parameters to guide your work. You serve parents and you work in a community. And finally, you can do nothing to promote student learning without the involvement of teachers and other staff members. You have power and authority, but neither is absolute.

Suggested Activities

1. Interview two or three beginning principals (with three or fewer years of experience) and determine what their greatest challenges are in working with parents and community members.

2. Talk with parents of children enrolled in different levels of schools (elementary, middle, and high) and determine their perceptions of the kinds of things they expect to see from principals of their schools.

3. Attend one or two school board meetings to observe what, if any, of the board member behaviors described in this chapter are present. How do the

administrative personnel present at the meetings react to such things as "single issue advocacy" and "confusion over board roles and responsibilities"?

Additional Readings

Blase, J., & Kirby, P. (2000). *Bringing out the best in teachers: What effective principals do* (2nd ed.). Thousand Oaks, CA: Corwin.

Rebore, R. W. (1984). *A handbook for school board members.* Englewood Cliffs, NJ: Prentice Hall.

Sarason, S. B. (1995). *Parental involvement and the political principle.* San Francisco: Jossey-Bass.

10

Frustrations of Leadership

For the most part, Kelly Marshall has been enjoying her first year in the principalship. Despite the turbulence she encountered when some teachers complained to school board members, most of this past year has been characterized by a sense that she made the right decision when she decided to pursue a career in school administration.

Bob Kennedy, another rookie principal in the same district as Kelly, was having a different experience as the campus leader of Autumn Glen Middle School. He recently stopped at Kelly's school to share a few thoughts about his choice of careers. "Kelly, I'm really starting to reflect on whether or not I'm in the right business. Maybe I should have stayed in the classroom. I was over at the university last week talking to a group of students in the principalship class, and I asked how many people wanted my job some day. In a group of about 25 people, I only counted four or five raised hands. I asked them why they felt that way, and they started rattling off answers that sounded exactly like the things that have been happening to me to change my mind."

After Bob left, Kelly began to think over her choice again. She wasn't as unhappy as Bob, but she could certainly appreciate why Bob and a lot of other people were either leaving administration or deciding not to go into it in the first place.

* * *

Throughout this book, I have provided you with some insights into the real issues and concerns you are likely to experience when you become a school principal. Some of the issues are related to personal choices you need to make to define your personal values and platform or to consider your own

views about leadership and management. I have also put forth the kinds of issues and challenges you may face when you take the hot seat for the first time.

All this material is not meant to dissuade you from pursuing a career as a school principal. After all, there is increasing evidence from many sources—including the National Association of Secondary School Principals, the National Association of Elementary School Principals (Educational Research Service, 2000), and several state departments of education (McMinn, Van Meter, & Quintero, 2000)—that there will be fewer qualified applicants pursuing a larger number of job openings for school principalships in the foreseeable future. In addition, increasing numbers of current principals, like Bob Kennedy, have experience as principals but are now second-guessing their career choices. What all of this means is that U.S. schools may well be on the verge of a leadership crisis. We have ample research evidence (Austin, 1979; Edmonds, 1980; Lipham, 1981) that notes the importance of strong leadership by the principal as a key ingredient of effective schools. If talented people are shying away from service as principals, how will schools of the future hope to achieve their full potential?

As you read this book and engage in other learning experiences to prepare you for being a school principal, you are no doubt also reflecting on your decision to pursue an administrative career. Clearly, you have some interest in becoming a school administrator. However, it is understandable if you still have some continuing doubts and concerns.

This chapter is designed to help you reflect on a number of the most common concerns and issues that you are probably going to face when you step into a principalship or assistant principalship. As you will note, some of the issues are unavoidable; they are endemic to serving as a school leader. They cannot be altered to any great extent. In other cases, there may be some ways you could develop alternative approaches to issues. An assumption made here is that it is critical to attract dedicated and able people to the world of school administration. Although you may need to face some major changes, reviewing some issues in advance may enable you to proceed toward your personal and professional goals with much greater confidence.

Major Challenges

Discussions with both experienced and beginning principals regarding their decisions to serve as school administrators have yielded many important observations that are worth considering if you are planning to pursue a principalship in the future. Before reviewing specific concerns, a few general comments need to be made.

Experienced and novice school administrators note that the job of the campus leader is truly becoming more demanding and, in fact, more stressful.

Expectations of educational accountability put building principals at the center of public and political discussions related to the improvement of education. Although much argument may take place about the sincerity and reasonableness of much of this reform rhetoric, there can be little doubt that it is real, likely to last well into the future, and place increasing demands on those who are designated as leaders of schools.

A second observation made by the majority of school principals may be somewhat surprising, given the first observation. Even though administrators note increased stress, the majority of current administrators continue to indicate satisfaction with their choice of occupations. When asked the question "Would you do it over again if you were trying to decide about going into school administration?" the majority of people still say yes. But that may not be a satisfying statement to someone like you, who is still on the outside looking in.

Third, while talking with many present and former school administrators, certain key issues kept appearing when they were asked about specific concerns related to the world of school administration. These issues are described in the next section.

Frustrations of Principals

Five broad areas of frustration have been identified as factors that cause both aspiring and practicing principals to question their commitment to their job. These broad areas include (1) job description issues, (2) governance issues, (3) general job characteristics, (4) external demands, and (5) internal demands.

Job Description Issues

Principals have certain responsibilities to carry out, which are noted in their job descriptions. Among these are several duties, described below, that are most often identified by practicing and would-be administrators as either particularly frustrating or intimidating.

1. Evaluation of Staff. Principals are accountable for all activities and practices carried out in their schools, but they do not actually do many of these duties. Instead, they oversee the work of all the personnel who are assigned to these duties. For example, most principals do not teach, but they are responsible for teaching. The problem, of course, is that most people who serve as school principals (and also classroom teachers) have little experience in the operation of a school other than teaching. Most have never been food service directors, custodians, clerks, or security guards. The result is a distance between the world of school staff and the world of profes-

sional educators. Understandably, when principals are faced with evaluating the performance of their classified staff, they may be reticent to assess the performance of someone who performs duties in which the principals themselves have no experience.

As a response to this issue, practicing and aspiring principals might wish to consider one or more of the following suggested practices to allay their fears about evaluating the work of their staff:

- *Learn about the people, not the job descriptions.* People who serve as members of your school staff may not have the same university degrees as do teachers and administrators in the district, but they are critical members of your educational team. They deserve to be evaluated with the same professional attention as all other members of your organization. And they need to be treated with the same dignity and respect afforded to everyone else. As a result, a lot of potential friction and frustration can easily be addressed if you remember that staff members always deserve honesty, openness, and candor just as much as your other colleagues. The first step toward this is to know people as people, not as the "custodians," "cafeteria workers," and so on.
- *Learn to walk in others' shoes.* One principal tells the story of how he regularly comes to school in his work clothes and simply serves as an assistant to his custodians. Usually, this is done on staff days when the students are not in the school. His theory is that spending a few hours of time now and then unloading trucks or waxing the floors is a way to retain his understanding of the way staff members feel. It also enables staff to see that the boss is not too proud to get his hands dirty every once in a while.
- *Reward staff once in a while.* Taking the front office clerks and secretaries out for lunch on a day or two other than National Secretaries' Day also reinforces that staff members are valued. Sponsoring a day when the teachers and administrators in a school cook breakfast for the cafeteria staff is another way to ensure rapport among all members of your community.

2. **Evaluation of Teachers.** A major responsibility of all principals is to evaluate teachers in their school. Principals often feel stressed over this duty. Virtually all principals served as teachers for part of their professional lives. When they are called on to evaluate professional peers, principals often feel some stress because they are "judging" others. Also, the evaluation of teachers often frustrates principals because they fear they will violate the terms of contractual understandings between teachers' associations and boards of education. Finally, some principals are reluctant to evaluate teachers because they do not believe they have sufficient expertise to carry out this task. Here are some ways stress over this responsibility might be reduced:

- *Understand that teaching, not the teacher, is being evaluated.* The primary duty you will have as a principal is to ensure that quality teaching is taking place in your school. It is much easier to carry out effective evaluation if your goal is to assess the work and not the worker.
- *Know your contract.* Studying the language of a school district's contract with teachers may not be entertaining reading, but it is important. The more you are aware of the exact responsibilities and procedures associated with the evaluation of classroom teachers, the less likely you will be to violate those terms. This will not guarantee that a teacher will never file a grievance over this issue, but you will probably not make a serious error in this area if you know the policy.
- *Learn more about evaluation.* Simply stated, become a student of the evaluation process. Read material describing effective teaching practices, successful teacher evaluation strategies, and other subjects that will provide you with greater information about this part of your job. Knowledge *is* strength.

3. Interaction With Parents. A frequent complaint from many school administrators today is that parents are too often opponents of school personnel. As a result, principals spend much of their days responding to concerns of irate parents who often think only about their children's needs and not the welfare of the entire school. Threats of lawsuits are frequent, along with other forms of potential intimidation. Here are some approaches that may reduce the negative impact of this type of negative interaction with parents in schools:

- *Remember why parents act as they do.* Regardless of the school in which you may serve as a principal, parents have a right to behave in a way consistent with a reality sometimes forgotten by workers in schools. In other words, all parents have a need to protect their child and to ensure that good things happen. When principals forget this, they often run directly against a very fundamental human concern.
- *Don't "deal" with parents—work with them.* Often, parents will aggravate you and cause you a great deal of frustration. They will be angry with you and distrust you and disrupt many things that you want to do in your school. Having said that, the reality is that parents should be active partners with you in the education of their children. Many educators are fond of saying that they cannot deal effectively with student problems that originate in the home. As a result, does it make sense not to involve parents on a regular basis as coeducators of their children and your students?

All the issues described above are things that come with the turf of a principalship. You must evaluate staff and teachers, and you must work with

parents. No matter how much you might want to avoid some of these responsibilities because they may be unpleasant at times, there are ways to make them less frustrating, as shown above.

What are some other elements of a typical principal's job description that you believe will be difficult to carry out when you get a job as an administrator?

Governance Issues

Other concerns that frustrate principals come about as a result of the ways schools are formally governed. In the United States, local control of public education is one of our strongest traditions. It can also be one of the most difficult factors to appreciate when you become a principal. In addition to possible friction with governing boards, you will be faced with governance issues with central office administration and state education agencies.

1. Working With Local Governing Boards. A frustration often experienced by principals is the need to work with lay boards of governors. A deeply embedded value in our system of education is that schools are governed by those who frequently have no special training as educators. But that often results in what principals and other administrators see as micromanagement of their work by people who do not understand important issues and practices.

There is little that you will be able to do to change the nature of lay control of your school. However, here are a few suggestions to reduce the frustrations brought on by school board members disrupting your work:

- *Be friendly but professional with board members.* Do not suggest the need for any special favors for you, your school, or your teachers when you encounter board members in the community.
- *Adhere to district policy.* If your superintendent wants to discourage board members from having meetings with principals and teachers at times other than public board meetings, follow that policy.

- *Do not try to be a politician.* There is no doubt that schools are politically active environments, whether we want to believe that or not. However, recognizing that is one thing; attempting to increase the politicization of a school district with the formation of alliances between principals and some board members is not healthy for your career or for the best interests of your school.

2. **Working With the Superintendent and Central Office Administrator.** This can be a particular challenge when these individuals have not had prior experience as principals; they may not always understand or be sympathetic to your problems and needs. As a way to deal with this situation, you might do the following:

- *Encourage more campus visits.* Let others see the world that you work in on a regular basis.
- *Arrange open forums between your staff and teachers and administrative personnel from the central office.*
- *Be patient and clear in your expectations and explanations.*

3. **Working With State Departments of Education.** In each state of the United States, the ultimate authority for policies and procedures related to public education is the state board of education, which in turn delegates responsibility for enforcing policies to a state education agency. Often, this enforcement practice will appear to interfere with your ability to lead a school: "The state won't allow us to do what we want." Here are some ways this concern might be made less severe:

- *Make sure you understand the nature of state policies and constraints.* Don't complain about limitations on your authority unless you know there are actual limitations.
- *Develop relationships with key personnel in the state education agency.* Learn who to contact with questions about practices related to your school.
- *Learn about waivers.* Most state departments have procedures in place to enable local schools and districts to seek waivers from state policies.

What are some additional elements of the governance structure of school systems that may serve as a potential frustration to your work as a principal of an individual school?

General Job Characteristics

Three major aspects of the principal's job often cause people to step away from this important role. These are salaries, the number of hours required to carry out the job each week, and after-school duties. Unfortunately, all three issues are unavoidable realities of being a modern school principal. Again, it is not a case of how to avoid any of these job characteristics but of finding ways to reduce the negative impact felt because of them.

1. Salaries. As most people know and readily acknowledge, professional educators are paid well below the level of salaries that other individuals with comparable levels of education and training are provided in other fields. Teachers with an undergraduate degree are paid substantially less than engineers with the same level of schooling. Principals with master's degrees (or even doctoral degrees) are paid less than their middle management counterparts in private industry. Of course, the most frustrating aspect of these statements, at least from the perspective of teachers and school administrators, is that the responsibilities of school personnel are viewed publicly as much more important than those of beginning mechanical engineers or branch office managers in large banking corporations. Nevertheless, it is quite unlikely that real parity will ever be found for public school teachers and administrators in the United States or perhaps any other nation of the world. Clearly, this has an adverse effect on the attractiveness of teaching and school administration, even though many still proclaim that "no one goes into education as a profession because they want to be rich." Well paid or not, educators have to buy houses, pay for cars, eat, and raise their children. These may be problems that will endure, but here are some ways to reduce the negative aspect of financial support:

- *Don't stop trying.* Just because educators are not paid well does not mean that you should necessarily stop trying to find ways to increase salaries. Be active in your teachers' or administrators' association, lobby legislators, and work with colleagues to convince school board members to seek funds for raises. You may still not become rich, but at least you can do what you can to find some additional support.

- *Examine your own platform to find out what is important.* Money may not be the answer.

2. Long Hours. Working anywhere from 50 to 65 hours a week is not unusual for school principals. That is part of the job. Here are some ways to find some relief from this time commitment:

- *Delegate.* As principal, you do not need to do everything by yourself. Assign tasks to assistants, clerks, and others who work in your school and who might actually be able to do some things better than you can.
- *Prioritize.* Decide what things must be done first and what things can wait to be done. Follow your priorities.
- *Realize that not everything can be done.*

3. After-School Duties. As principal, there are many things you must do after regular school hours. Showing up for parent nights, sporting events, plays, band concerts, and many other similar activities demand an administrator's presence. But perhaps you can minimize the negative effect that such work often entails.

- *Delegate.* You cannot be in all places at the same time.
- *Combine personal and professional commitments.* If you have a family and you feel as if you are leaving them at home too often while you are at school, think about bringing them to school activities. Not only will this make you feel better, but it will also create a different bond with staff, teachers, parents, and students when they see your spouse and children coming to a play or a basketball game once in a while.

Certain characteristics of any job cannot be changed. Physicians work long hours. Lawyers spend a lot of time in law libraries. Principals of schools spend a lot of time working on activities after the school day has concluded. But there are ways to reduce the features of any job that have a negative effect on the practitioner.

What are some additional features of the job of being a principal that cause you some concern about following a career in administration?

External Demands

Conversations with many principals who have decided to retire early or leave school administration and pursue other careers also offer insights into the kinds of frustrations faced by principals today. Many of the most difficult issues include the various demands that are placed on them by factors outside their control in the external environment. Such factors include inadequate financing of schools, relations with media, legal constraints, and increasingly narrow definitions of school accountability attached to public education by political bodies.

1. Inadequate Financing. Educators typically know that money is short. The administrative problem posed by this fact is that the money flow into schools is often quite unpredictable. It is extremely difficult to plan for a new reading or math program if you are unsure of whether or not resources will be available to implement the desired activity. Although there is no magic wand to change the lack of money or the uncertainty about how money will be spent, here are a few ideas for what you might do about this issue:

- *Plan and plan and plan.* Because money is not always automatically disbursed to individual schools in the way you might wish, it is critical that you do your homework on all aspects of every proposed project. The worst thing that can happen is to have a board member or superintendent criticize a proposed new program because all the details of the financial plan have not been clarified.
- *Be prepared with alternatives.* Always have a Plan B and perhaps also a Plan C when you are seeking additional resources.
- *Learn about budgeting and financial management.* Many beginning principals share horror stories about how they knew virtually nothing about daily financial management issues when they stepped into their offices for the first time. They may have taken courses in educational finance and policy development, but such matters are not the grassroots concerns of campus administrators. You need to know where to get money to run programs, not how to enact policy to increase educational financial equity in your state.

2. Relations With the Media. Whether you wish to admit it or not, much of what happens in the world today—and peoples' responses to what

happens—is driven by what is presented in the media. And increasingly, *media* is defined as the electronic news media of television and radio. You will be frustrated when "it seems like the cameras only show up when something bad happens" or "they never write or talk about the good things that happen here at school." Get over it. Those statements will be true of how newspapers, radio stations, and television stations always cover the affairs of public organizations. And schools are always open to coverage. If you don't believe that, try to bar the news media from covering an event that they want to cover. Here are some suggestions for working with the news media:

- *Work with newspapers and electronic media, not against them.* Bad reports about your school in the newspaper or on television news broadcasts are harmful to you, your teachers, and potentially, to your students. As a result, it is important to maintain positive relations with media representatives wherever possible.
- *Take advantage of offers.* In many cases, media representatives will counter your complaints related to overzealous coverage of negative school news by saying that you never send along alternative stories. Make sure that you maintain persistent efforts to "educate" the media about what is good in your school.

3. **Accountability Demands.** An increasing number of states are seeking to determine accountability and effectiveness of schools through the use of testing programs that supposedly verify whether students are actually learning in their classrooms. The outcome of these measures is often a public statement that teachers or principals are not doing their jobs because students are not performing well on tests. This trend is likely to continue well into the future. Although this may be frustrating, here are some ways principals can address this issue:

- *Learn about testing.* If you don't already have a background in test interpretation, develop your knowledge in this area and use it as a tool to deflect unwarranted criticism of your school.
- *Do not take a stand against accountability.* Proving the effectiveness of schools is not the enemy. Instead, it is the tendency to oversimplify what effectiveness is all about. Learn the difference between these two concepts before you make critical public statements.
- *Keep working toward true effective practice.* If test results are not the absolute measure of a school's quality, determine the ways your programs and teachers are meeting student needs.

What are some additional factors external to schools that are likely to cause you and other principals frustration?

Internal Demands

The final set of factors that cause frustration to school principals are classified as demands within the school. These include such things as reduced contact with students and student behavior.

1. Reduced Contact With Students. Those who step from the classroom into the world of administration soon realize that one of the most dramatic differences is that they no longer enjoy the same contact with students. One of the traditional reasons that motivates people to work as educators is the ability to work with children. Teachers, of course, experience this reality every day. When people become school administrators, they still work with students, but suddenly they regularly experience only two kinds of students—very good students or students with severe problems. Gone is the contact with the "average" student, who makes up the majority of schools. As a result, many administrators suffer a severe sense of loss from their days in the classroom. Here are two ways to cope:

- *Continue to teach periodically.* The title of principal is actually a shortened version of the original name of the job that you are pursuing. Not that many years ago, you would have been referred to as the *principal teacher*, often the most experienced or respected instructor in a school. Things have changed, of course. Today, the principal is primarily an administrator or manager who "teaches" primarily by providing support to classroom teachers each day. However, even with the limitations of time faced by all principals, some still try to teach an occasional lesson or class. Another way principals keep their teaching skills alive is by serving as a substitute teacher from time to time. It certainly is not the same as actually delivering a lesson, but it will enable you to maintain the contact with students that probably appealed to you when you considered a career in education a few years back.
- *Spend less time in your office.* Another way principals who miss students are able to maintain contact is to deliberately stay away from the

confines of their offices as much as possible. Standing in corridors during class changes, supervising the lunchroom, or simply watching the buses come in each morning are all ways to stay in contact with the students and avoid the life of an office-bound bureaucrat.

2. Dealing With Student Behavior Problems. Despite all popular descriptions of the role of the principal as "instructional leader" or "curriculum developer" for a school, a constant fact remains that cannot be ignored. Principals are still ultimately responsible for ensuring that their schools have a safe and orderly environment for student learning. Many principals would rather not deal so much with student discipline but would instead like to be involved with curriculum and instruction. But you are responsible for dealing with student behavior. Here are some ways effective principals are able to fulfill this responsibility and not turn into wardens in their schools:

- *Share the discipline duties with others.* Several years ago, Susan Rosenholtz (1989) described effective schools as places where all important duties were shared by everyone. As a result, principals were not the only ones who dealt with discipline problems. In fact, student behavior management in Rosenholtz's "good" schools was something shared by all the professional staff. Discipline was not viewed as "the principal's job" but rather a duty shared by all. One way to avoid the tendency to become tied to all misbehaving students is to work toward the development of that same shared vision of who should be working with students.
- *Keep discipline in a proper focus.* It is easy to lose perspective by dwelling only on the negative side of serving as the school's disciplinarian. Successful principals realize that what they are doing is serving as an educator when they work with students who need additional behavioral management. In short, there is a serious purpose behind administering discipline in a school.

What other ways have you seen administrators deal with their responsibilities as the disciplinarian for their schools?

Summary

Serving as the principal of a school is a way to render a very positive service to education by exercising responsible leadership. However, many frustrations are associated with this role as well. These frustrations are increasingly causing good people to leave the principalship or even avoid the role completely. This is indeed unfortunate, because if we do not have good school leaders, we are unlikely to have good schools.

This chapter presented some of the most common frustrations and problems that people have associated with the school principalship. I offered some suggestions to help you deal with these concerns. As you consider the career of the campus leader, you may wish to keep these suggestions in mind and also begin to develop your own set of responses to the many problems that you are likely to face when you take the hot seat.

Suggested Activities

1. Talk to at least five current principals and ask them their greatest frustrations in serving as campus leaders. Ask what they do to reduce the negative effects of these frustrations on a daily basis.

2. Interview some local principals to ask them whether or not they would elect to become principals again if they had a chance to rethink their career decisions. Why or why not? Make certain that you talk to principals representing a range of experience (e.g., some with fewer than 3 years of experience, some with 5 to 10 years in their job, and a few with more than 15 years of experience as principals).

3. Select any of the identified frustrations of the principalship described in this chapter and ask a group of aspiring principals what they would do to reduce the impact of these issues when they step into the role of school leader.

Additional Readings

Educational Research Service. (1998). *Is there a shortage of qualified candidates for openings in the principalship? An exploratory study.* Alexandria and Reston, VA: National Association of Elementary School Principals and National Association of Secondary School Principals.

Maine Leadership Consortium. (1999). *Administrator supply and demand: Finding solutions.* Orono, ME: Author.

Montana School Boards Association. (1999). *A study of the shortage of school administrators in Montana.* Helena, MT: Author.

New England School Development Council. (1988). *Administrator shortage in New England: The evidence, the causes, the recommendations.* Sudbury, MA: Author.

11

Keeping the Journey Alive

Kelly Marshall walked around the empty halls of her school building one more time. All the students and teachers had checked out and left the school for the year, and now it was her time to give her school one last, quiet glance before she went back to her office to get some end-of-the-year paperwork completed. For the next few weeks, before Kelly took her vacation, this place would be pretty lonely, with only a few classified staff around for the most part. She smiled as she walked, realizing that she had made it through her first year as a principal.

Getting this job as a school administrator had been the realization of a personal and professional dream. Now she was a real, honest-to-goodness principal, and she was thinking about the successes and challenges of this past year while she also planned for the next year. It was a good feeling to be secure in the knowledge that she had tried a new path and she had succeeded.

She felt good about her life as a principal, but she realized that there was still a lot to learn. She had discovered that she had many of the skills that she needed to succeed as a first-year administrator. She had started this journey with many years of good experience as a teacher, and she had been able to rely on many other life experiences. She had learned many things while in graduate school that she was able to put into use. But she realized that she had made mistakes. She wanted to do a lot of things in the future, but she needed to gain some additional insights before she could move in that direction.

As she walked back into her office to begin digging through the report forms to be completed by the end of the month, she thought about what her next steps would be to make sure that the journey she had started would remain a happy one.

Once again, Kelly's thoughts parallel those of many beginning school principals. She "survived" her first year and she was happy about that. She also feels satisfied that her school is in good shape, the teachers left the school happy, and most of all, her students had learned quite a bit and were progressing in their lives. But Kelly also realizes that there is still much to do in her professional life.

The purpose of this chapter is to provide an overview of some of the ways you might be able to keep growing in your professional life after the first few steps into the principalship. After all, a good principal is one who continues to learn and develop in much the same ways the students in the school should learn more and more.

Principal Professional Development

James LaPlant, developer of the /I/D/E/A/ Kettering Foundation's Principal Inservice Project in the 1980s, made the observation that above everything else, an effective principal must be "the number-one learner in a school" (LaPlant, 1979, p. 2). It was his contention that if principals do not learn, teachers will not learn. And if that occurs, student learning will also disappear. Following this logic, it becomes imperative that all who step into the principal's office dedicate themselves to an active plan to continue to acquire new knowledge, skills, and practices that will allow further growth in the school. The key to that kind of ongoing learning is the personal commitment to a continual program of professional development throughout an entire career. Traditionally, professional development involves dedication to one or more different forms of inservice education and personal learning, as described in this chapter.

Administrator Inservice

The literature identifies several different strategies available to school administrators. These include the traditional model, inservice academies, workshops or seminars, and networking.

Traditional Model

The first alternative model for administrator inservice is the traditional model. It consists of school administrators enrolling in university courses for graduate credit. The primary responsibility for determining the content and specific delivery methods for instruction lies with the university. More precisely, content and instructional methods are selected by the individual

faculty members who teach certain courses. Principals select this model based on a desire (a) to pursue additional coursework in an area of professional interest, (b) to obtain an advanced degree, (c) to renew or upgrade their administrative certification or licensure, or (d) a combination of these objectives.

The traditional model is an institutionally defined type of learning experience. It is not designed as a learning activity with an immediate payoff for a particular individual. It is not the normal goal of a professor of school finance to share some tips of the trade that will help a local principal find ways to pay for some new curriculum project.

What are some of the advantages and disadvantages that you see in using university courses to help you learn about issues that will be important to your work as a principal?

Inservice Academies

Many school districts and other educational agencies have created their own form of inservice education that is available to administrators on an ongoing basis. This form of learning is known generically as an inservice academy.

The inservice academy is an arrangement in which a school district, a state department of education, or some other educational agency provides structured learning experiences to educators on an ongoing basis. Content is changed periodically, usually on the basis of a needs assessment administered to potential enrollees in the academy. The academy is structurally similar to the university course as a form of inservice education, but it has two important differences: (1) The academy is an in-house effort sponsored by an educational agency specifically to address the needs of local practitioners (this is done without reliance on another institution such as the university) and (2) the academy is client driven. Involvement in academy activities normally comes from an individual's personal motivation and desire to learn and grow professionally, not from a need to meet requirements for continued certification by a state department of education or to address the

demands of some institution of higher education and its graduate degree programs.

What are some of the advantages and disadvantages that you see in using the inservice academy as a form of administrator inservice?

Workshops or Seminars

The most popular inservice model available to practicing administrators is the workshop or seminar. The duration of these learning experiences varies from a few hours to a whole day. Professional conferences and conventions may last as long as several days or even weeks. All these activities fit within the definition of workshops or seminars as an inservice education model.

The workshop or seminar is any type of relatively short-term learning activity directed toward a single specific topic or a narrow range of related topics. This approach is distinct from other inservice models because of its short-term duration and because it tends to deal with highly focused topics.

Workshops and seminars are readily available learning activities. Principals are offered an array of programs by a multitude of sponsoring agencies. Typically, these are state, regional, or national professional associations for administrators, state departments of education, and colleges and universities. In addition to offering something of instructional value in these workshops and seminars, sponsoring them is appealing because they represent significant opportunities for producing revenues. As a result, individual private entrepreneurs provide many structured inservice programs of this sort for school principals.

What advantages and disadvantages do you see to this model of principal inservice education?

Networking

Networking involves linking individuals in different schools or districts for the purpose of sharing concerns and effective practices on an ongoing basis. There is a significant difference between this approach and the other inservice models reviewed. In networking, the primary responsibility for controlling the learning experience lies directly with the participants themselves and not with their professional associations, the state education agency, or some nearby university. Networks tend to be informal arrangements that emerge when principals seek out colleagues who share similar concerns and potential solutions to problems.

Recent suggestions that networking should be used for professional development of principals seem to be based largely on the belief that collegial support arrangements are needed. When educators are able to form linkage relationships with one another, good things happen. Recent descriptions of effective organizations suggest that when norms of mutual support and collegiality are present, those organizations are likely to be sustained over longer periods of time.

There is an important difference between simply bringing principals together periodically and developing true collegial relationships. In the former case, no clear goals are present to guide the bringing together of different individuals. As a result, no sharing or open communication takes place. Furthermore, people are not together to achieve common, shared goals. In true collegial relationships, individuals are directed toward a focused objective, and the common pursuit of this objective forms the bond between members of a collegial group. As a result, there is a great difference between a bunch of principals who happen to get together periodically for social occasions and a group of principals who gather together on a regular basis to engage in activities that have been deliberately planned as a way to encourage collective movement toward enhanced professional performance.

What advantages and disadvantages do you see to networking as a form of inservice for school principals?

Personal Learning

In addition to the structured and planned inservice activities described above, principals also have a number of other ways to engage in personal learning. These approaches are not as social in nature, but they represent important ways you may be able to follow a program of personal professional growth and development as a school leader. Among the methods suggested here are professional reading, shadowing other principals, membership in professional associations, and mentoring.

Professional Reading

An obvious approach to personal professional growth and development is simply to keep reading. And this suggestion is not meant solely to promote reading of professional literature. It also means that a way to help keep you alive and in tune with professional interests may also involve what some refer to as *recreational reading*. In other words, it may be that you can develop important insights into your role as a leader by reading popular novels or classical works from time to time. It is not always critical to read the latest research on trends in learning theory. Rereading some of Shakespeare's most familiar works might also serve to enlighten you about the human condition and your ability to influence it as an educator.

The kinds of things that you read give others important insights into what interests you or what you value as a person. It is not uncommon to be asked during a job interview what books you have read recently. Often, the purpose of such a question is not to assess absolute values concerning your literary preferences but to see if you are reading more than just the latest bulletins from the state education agency or memos from the superintendent. Good leaders are well-rounded individuals with many different interests.

What have you read recently, and why did you like them or dislike them?

Shadowing

An often overlooked activity that may help you become a better principal is simply visiting another school and spending time shadowing the principal for a period of time. In most school districts, principals see each other fairly often at administrator meetings, work sessions, and in some cases, socially. But it is not often that campus administrators get a chance to watch each other while managing a school. It is very similar to the phenomenon of teachers working across the hall from each other for years without ever seeing their colleagues teach a class.

In shadowing a colleague administrator, both parties need to lay down some ground rules. First, they have to determine how long the shadowing session will last. For the most part, these observations last no more than about 2 to 3 hours. Much longer than that will likely be unfeasible, given the time constraints faced by both principals. Shorter sessions will give the observer little to see in terms of a work flow. A second important issue that needs to be understood is that the shadowing session is not an evaluation of a colleague's practice. Tied to that is the fact that there must be an understanding that the observer is not to talk unless invited to do so during a session. The purpose of shadowing is to see how another principal interacts with people, deals with problems, and in some cases, responds to crises. It is not an opportunity for one administrator to second-guess or "fix" the person being observed.

Two other issues should be addressed prior to a shadowing session: (1) The two parties need to decide what to do in situations where confidentiality is an issue or might be a concern (clearly, the observer cannot be present in some delicate circumstances) and (2) the observer must be as unobtrusive as possible, but it may be that she or he would like to take notes to guide a postshadowing feedback session. The two partners need to consider whether having a person take notes for an hour or two would change the natural order of activities.

After the shadowing session has concluded, the two parties need to get together as soon as possible to engage in a feedback session. Here, the purpose is for observers to raise questions, not to judge any behaviors or decisions of their colleague. In this case, the person being observed is able to explain why he or she did what was observed. As a result, observers learn another way of dealing with some things that may be of concern in their professional life.

What are some of the advantages and disadvantages that you see in carrying out periodic shadowing of another colleague?

Membership in Professional Associations

One often overlooked approach to personal development and learning is through affiliation with professional associations. There are several groups that you might wish to think about joining because of their focus on administrative and leadership issues in education. For elementary and middle school principals, there is the National Association of Elementary School Principals or one of its state affiliates. High school and middle school administrators might consider the National Association of Secondary School Principals. Another group that does not simply focus on administrative issues is the National Middle School Association. Finally, it might be worth your effort to join the Association of Supervision and Curriculum Development, particularly if you have an interest in curriculum and instruction.

At least two specific benefits are likely to be derived from membership in any national, state, or local professional association. First, all groups offer members a good deal of resource material in the form of periodicals, newsletters, and special research reports that alert members to developments in the field. In addition, professional associations offer members many other services such as legal advice, liability insurance, and job search assistance.

The second major benefit from association membership is that all groups tend to sponsor regional and national meetings and conferences. It is during these gatherings that principals are able to meet and learn about the work of other colleagues. As most principals get to know quite quickly, they are often lonely in their professional lives, particularly if they work in very small districts where there are but two or three schools. Participating in larger organizations can serve as a way to bring you in contact with others who share similar concerns, problems, issues, and ambitions.

Do you now belong to any state or national professional education associations? If so, what benefits do you derive from these memberships?

Mentoring

One of the most powerful approaches to developing a personal professional development plan is mentoring. There is considerable evidence in education and other professional fields to demonstrate the power of this strategy. Although there is considerable literature and research describing the use of mentors in school administration, the most fundamental way of describing mentoring is to suggest that a principal would be well served to have a friend available to provide tips for more effective practice. Furthermore, a mentor is critical because he or she can help the practitioner test personal assumptions and values in a safe environment. Some refer to this as bouncing ideas off another person who cares enough to listen.

Mentoring is an important way to ensure that you can stay on track through your career. It is critical that you have someone in your environment who will care enough about you and your success to occasionally challenge you, ask difficult questions, and also be available when you experience challenges and even failure in your career.

Mentors do not have to be older than you, considerably more experienced, or the same gender as you. They do have to have successful experiences in your chosen professional field, but most of all, they need to care about your successes. They also have to be willing to listen, but not judge you when you seek insights. Above all, they must avoid the temptation to second-guess you or suggest that "If I were you, I'd . . ."

There is a great deal of support for the concept of mentors serving principals at the earliest stages of their careers. More than half the states in the United States now require (or propose requiring) that all beginning principals receive at least a year of mentor support when they take their first administrative job. That makes a great deal of sense, given the complexity of the principalship. However, there is also a need for principals with many years of experience to have contact with people who care about their professional well-being. As a result, it may be very important for you to identify mentors who can assist you throughout your career.

The bottom line in this brief description of the importance of mentoring is that you need to consider finding one or more persons who can serve as mentors and career guides as you move forward toward the principalship. Give some thought to the kinds of skills and insights you will need as you

work toward your professional goals and to finding people who might be good mentors to assist you in gaining those skills and insights.

Who are some individuals who might serve as mentors to you as you continue your voyage toward the principalship? What are some of the ways these people might be called on to assist you?

Summary

This closing chapter describes some of the ways you might be able to maintain support for yourself as you proceed toward the goal of becoming a principal. Even more important than the help you find while you are preparing for an administrative career is finding professional development opportunities throughout your career. Among the strategies included in this chapter were several alternative approaches to formalized inservice opportunities and ways you might be able to direct your own career development.

The critical thing to recall in terms of finding ways of supporting your professional growth is that you will never have enough opportunities to learn as a principal. You may be starting a very important personal and professional voyage, but the reality is that your journey will take many twists and turns over time. As a result, you need to keep growing, learning, and wanting to lead. And even with those efforts, your personal journey will never fully end.

Suggested Activities

1. Talk to a sample of principals and ask them which of the identified models of inservice they have followed in the last 3 to 5 years. Ask which ones have been most effective in helping them maintain their leadership focus.

2. Review the strategies for personal learning presented here with three or more principals. Ask them which approaches have been most helpful to them and why.

Additional Readings

Daresh, J. C. (2001). *Leaders helping leaders: A practical guide to administrative mentoring* (2nd ed.). Thousand Oaks, CA: Corwin.

Daresh, J. C. (2001). *Beginning the principalship* (2nd ed.). Thousand Oaks, CA: Corwin.

References

Austin, G. R. (1979). Exemplary schools and the search for effectiveness. *Educational Leadership, 37*(1), 10-14.

Barnett, B. G. (1991, April). *The educational platform: A developmental activity for preparing moral school leaders.* Paper presented at the Annual Meeting of the American Educational Research Association, Chicago, IL.

Barnett, B. G. (1992). Using alternative assessment measures in educational leadership programs: Educational platforms and portfolios. *Journal of Personnel Evaluation in Education, 6*, 141-151.

Beck, L., & Murphy, J. (1993). *Understanding the principalship.* New York: Teachers College Press.

Bennis, W. G., & Nanus, B. (1985). *Leaders: The strategies for taking charge.* New York: Harper & Row.

Blake, R. R., & Adams McCanse, A. (1991). *Leadership dilemmas-Grid solutions.* Houston, TX: Gulf.

Blake, R. R., & Mouton, J. S. (1964). *The managerial grid.* Houston: Gulf.

Blake, R. R., & Mouton, J. S. (1985). *The managerial grid III.* Houston: Gulf.

Boulding, K. (1962). *Conflict and defense: A general theory.* New York: Harper & Row.

Brookover, W. B., & Lezotte, L. (1980). *Changes in school characteristics coincident with changes in student achievement.* East Lansing: Michigan State University College of Urban Development.

Burns, J. M. (1978). *Leadership.* New York: Harper & Row.

Campbell, R. F., Cunningham, L. L., Nystrand, R., & Usdan, M. (1990). *The organization and control of American schools* (6th ed.). Columbus, OH: Merrill.

Campbell, R. F., Cunningham, L. L., Nystrand, R., & Usdan, M. (1995). *The organization and control of American schools* (7th ed.). Columbus, OH: Merrill.

Ciampa, D. (1992). *Total quality: A user's guide for implementation.* Reading, MA: Addison-Wesley.

Covey, S. R. (1991). *Principle-centered leadership.* New York: Simon & Schuster.

Cuban, L. (1988). *The managerial imperatives and practice of leadership in schools.* Albany: State University of New York Press.

Culbertson, J. (1995). *Building bridges: UCEA's first two decades.* University Park, PA: University Council for Educational Administration.

Cunningham, L. L., & Hentges, J. T. (1982). *The American school superintendency, 1982: A summary report.* Arlington, VA: American Association of School Administrators.

Daresh, J. C. (1986). Inservice for beginning principals: The first hurdles are the highest. *Theory Into Practice, 25*(2), 168-176.

Daresh, J. C. (2001). *Beginning the principalship* (2nd ed.). Thousand Oaks, CA: Corwin.

Daresh, J. C., & Playko, M. A. (1993). Aspiring and practicing principals' perceptions of critical skills for beginning leaders. *Journal of Educational Administration, 32*(1), 35-45.

Deal, T. E., & Peterson, K. D. (1999). *Shaping school culture: The heart of leadership.* San Francisco: Jossey-Bass.

Deutsch, M. (1973). *The resolution of conflict: Constructive and destructive processes.* New Haven, CT: Yale University Press.

Dwight, T., & Wickerman, J. (1835). *The school master's friend of the committeeman's guide.* New York: Roe Lockwood.

Edmonds, R. (1980). Effective schools for the urban poor. *Educational Leadership, 37*(1), 15-24.

Educational Research Service. (2000). *The principal, keystone of a high-achieving school: Attracting and keeping the leaders we need.* Alexandria and Reston, VA: National Association of Elementary School Principals and National Association of Secondary School Principals.

Etzioni, A. (1961). *A comparative analysis of complex organization.* New York: Free Press.

French, J. R. P., & Raven, B. (1960). The bases of social power. In D. Cartwright & A. Zander (Eds.), *Group dynamics: Research and theory* (2nd ed.). Evanston, IL: Harper & Row.

Getzels, J., Lipham, J., & Campbell, R. (1968). *Educational administration as a social process.* New York: Harper & Row.

Gorton, R. A. (1980). *School administration and supervision: Important issues, concepts, and case studies.* Dubuque, IA: Brown.

Gottfredson, G. D., & Hybl, L. G. (1987). *An analytical description of the school principal's job.* Baltimore: Johns Hopkins University, Center for Research on Elementary and Middle Schools.

Gresso, D. (1986). Genesis of the Danforth Preparation Program for School Principals. In M. Milstein (Eds.), *Changing the way we prepare education leaders: The Danforth experience.* Newbury Park, CA: Corwin.

Halpin, A. W. (1957). A paradigm for research on administrative behavior. In R. F. Campbell & R. T. Gregg (Eds.), *Administrative behavior in education.* Chicago: University of Chicago Midwest Administrative Center.

Halpin, A. W. (Ed.). (1958). *Administrative theory in education.* New York: Macmillan.

Halpin, A. W., & Winer, J. A. (1957). A factorial study of the leader behavior description questionnaire. In R. M. Stogdill & A. E. Coons (Eds.), *Leader*

behavior: Its description and measurement (Research Monograph Series No. 88). Columbus: Ohio State University Bureau of Business Research.

Hartzell, G. N., Williams, R. C., & Nelson, K. T. (1995). *New voices in the field: The work lives of first year assistant principals.* Thousand Oaks, CA: Corwin.

Hemphill, J. K. (1949). *Situational factors in leadership.* Columbus: Ohio State University Press.

Hemphill, J. K., & Coons, A. E. (1957). Development of the leader behavior description questionnaire. In R. M. Stogdill, & A. E. Coons (Eds.), *Leader behavior: Its description and measurement* (Research Monograph Series No. 88). Columbus: Ohio State University Bureau of Business Research.

House, R. J. (1973). A path-goal theory of leader effectiveness. In W. E. Scott, Jr. & L. L. Cummings (Eds.), *Readings in organizational behavior and human performance.* Homewood, IL: Irwin.

Hoyle, J. R., English, F. W., & Steffy, B. E. (1985). *Skills for successful school leaders* (2nd ed.). Arlington, VA: American Association of School Administrators.

Hughes, L. W. (1984). Organizing and managing time. In J. M. Cooper (Ed.), *Developing skills for instructional supervision.* White Plains, NY: Longman.

Jacobs, T. O. (1970). *Leadership and exchange in formal organizations.* Alexandria, VA: Human Resources Research.

Jacobson, P. B., & Reavis, W. C. (1941). *Duties of school principals.* New York: Prentice Hall.

Janada, K. F. (1960). Toward the explication of the concepts of leadership in terms of the concept of power. *Human Relations, 13,* 345-363.

Jensen, M. C. (1989). Leading the instructional staff. In S. C. Smith & P. K. Piele (Eds.), *School leadership: Handbook for excellence.* Eugene: University of Oregon, ERIC Clearinghouse on Educational Management.

Kochran, T. A., Schmidt, S. S., & DeCotiis, T. A. (1975). Superior-subordinate relations: Leadership and headship. *Human Relations, 28,* 279-294.

Kouzes, J. M., & Posner, B. Z. (1987). *The leadership challenge.* San Francisco. Jossey-Bass.

LaPlant, J. C. (1979). *Principals' inservice.* Dayton, OH: Kettering Foundation and /I/D/E/A/.

Lipham, J. M. (1981). *Effective principal, effective school.* Reston, VA: National Association of Secondary School Principals.

Lipham, J. M., & Hoeh, J. A., Jr. (1974). *The principalship: Foundations and functions.* New York: Harper & Row.

Lipham, J. M., Rankin, R., & Hoeh, J. A., Jr. (1986). *The principalship: Concepts, competencies, and cases.* White Plains, NY: Longman.

Liu, C.-J. (1984). *An identification of principals' instructional leadership in effective high schools.* Unpublished doctoral dissertation, University of Cincinnati.

Marshall, C. (1992). *The assistant principalship.* Thousand Oaks, CA: Corwin.

McEwan, E. K. (1998). *How to deal with parents who are angry, troubled, afraid, or just plain crazy.* Thousand Oaks, CA: Corwin.

McMinn, C., Van Meter, E., & Quintero, M. (2000). *Examining the "school principal shortage crisis" in Mississippi: A perspective from Mississippi school superintendents.* Jackson: Mississippi Department of Education.

Mintzberg, H. (1973). *The nature of managerial work.* New York: Harper & Row.

Murphy, J. (1992). *The landscape of leadership preparation: Reframing the education of school administrators.* Newbury Park, CA: Corwin.

National Policy Board for Educational Administration. (1989). *Improving the preparation of school administrators: An ..genda for reform.* Charlottesville, VA: Author.

Northwest Regional Educational Laboratory, Rural Educational Project. (1980). *Leadership behavior matrix.* Portland, OR: Author.

Ott, J. S. (1989). *The organizational culture perspective.* Pacific Grove, CA: Brooks/Cole.

Owens, R. G. (1987). *Organizational behavior in education* (3rd ed.). Englewood Cliffs, NJ: Prentice Hall.

Owens, R. G. (2000). *Organizational behavior in schools* (7th ed.). Upper Saddle River, NJ: Prentice Hall.

Patterson, J. L. (1993). *Leadership for tomorrow's schools.* Alexandria, VA: Association for Supervision and Curriculum Development.

Payne, W. H. (1875). *Chapters on school administration.* New York: Wilson Hinkle.

Peabody, R. L. (1962). Perceptions of organizational authority: A comparative analysis. *Administrative Science Quarterly, 6,* 4.

Peters, T. J., & Waterman, R. H. (1982). *In search of excellence.* New York: Harper & Row.

Peterson, K. D. (1987). An organizational perspective on career movement. *Administrator's Notebook, 32*(2), 1-4.

Playko, M. A. (1991). *The voyage to leadership: Journeys of four teachers.* Unpublished doctoral dissertation, Ohio State University.

Reddin, W. J. (1970). *Managerial effectiveness.* New York: McGraw-Hill.

Reeser, C. (1973). *Management: Functions and modern concepts.* Chicago: Scott, Foresman.

Rosenholtz, S. (1989). *Teachers' workplace: The social organization of schools.* New York: Longman.

Sergiovanni, T. J., & Starratt, R. J. (1983). *Supervision: Human perspectives* (3rd ed.). New York: McGraw-Hill.

Sergiovanni, T. J., & Starratt, R. J. (1993). *Supervision: A redefinition* (5th ed.). New York: McGraw-Hill.

Shakeshaft, C. (1987). *Women in educational administration.* Beverly Hills, CA: Sage.

Simon, H. (1957). *Administrative behavior.* New York: Macmillan.

Shurtleff, N. B. (Ed.). (1853). *Records of the governor and the company of the Massachusetts Bay in New England* (Vol. 2). Boston: William White.

Smith, W. F., & Andrews, R. L. (1989). *Instructional leadership: How principals make a difference.* Alexandria, VA: Association for Supervision and Curriculum Development.

Stogdill, R. M. (1974). *Handbook of leadership: A survey of theory and research.* New York: Free Press.

Tannenbaum, R., Weshler, I. R., & Massarik, F. (1961). *Leadership and organizations.* New York: McGraw-Hill.

Taylor, F. W. (1916). Principles of scientific management. *Bulletin of the Taylor Society.*

Thomas, K. (1974). Power and conflict in the student-teacher relationship. *Journal of Applied Behavioral Science, 10*(3), 151-166.

Villers, R. (1960). *Dynamic management in industry.* Englewood Cliffs, NJ: Prentice Hall.

Walton, M. (1986). *The Deming management method.* New York: Perigree.

Weber, J. R. (1989). Leading the instructional program. In S. C. Smith & P. K. Piele (Eds.), *School leadership: Handbook for excellence* (2nd ed.). Eugene: University of Oregon, ERIC Clearinghouse for Educational Management.

Weber, M. (1947). *The theory of social and economic organization.* (A. R. Henderson & T. Parsons, Trans.). New York: Oxford University Press.

Weindling, D., & Earley, P. (1987). *Secondary headship: The first years.* Philadelphia, PA: NFER Nelson.

Wolcott, H. (1973). *Man in the principal's office.* New York: Holt, Rinehart, & Winston.

Yukl, G. A. (1991). *Leadership in organizations* (2nd ed.). Englewood Cliffs, NJ: Prentice Hall.

Index

Accountability, 153, 161
Action planning, 21
  alternative educational platform, 29-31
  educational platform development, 22-29
  reflective practice and, 32-34
  value of educational platforms, 31
Adams McCanse, A., 101
Administrative practices, 76
  administrative inspection, 76-79, 84-85
  authenticity in, 91-92
  classroom intervention, 79
  current perspectives, 84-91
  facilitator role, 83
  historical perspectives, 76-84
  human relations era in, 82-84
  human resource development, 85-86
  productivity concerns, 83, 85, 86
  religious vs. secular control, 77-78
  scientific management, 80-82, 85
  teacher competency and, 77-79, 84, 85
  total quality management (TQM), 87-91
Administrators. *See* Building-level administrators; Educational administration
American Association of School Administrators (AASA), 62
Assistant principals:
  administrative colleagues of, 42-43
  categories of, 38-40
  classified staff and, 42
  duties performed, 40-43
  leadership role of, 43-44
  student discipline and, 40, 41-42
  teachers and, 42
Association for Supervision and Curriculum Development (ASCD), 109, 173
Authority, 12, 116
  assistant principals and, 43
  charismatic, 121
  definition of, 117, 121
  formal, 118-119, 121, 122
  functional, 121, 122
  leadership and, 122-123
  legal, 121
  traditional, 121

Barnett, B., 29
Beck, L., 45
Beginning Principal's Critical Skills Survey, 7, 8-9 (figure)
Behavior:
  intrusive, boards of education, 67-68
  leadership and, 99
  management formulas and, 80-81
  problems, discipline and, 40, 41-42, 109, 163
  socially acceptable, 24
  See also Instructional leadership
Beliefs. *See* Value systems
Blake, R., 101
Board of education. See School board of education
Building-level administrators, 38
  assistant principals, 38-44
  decision-making committees, 139
  principals, 44-53
  site-based management and, 51

Central office administration, 17, 56
  decentralization of, 58
  review/reduction of, 57
  staffing and, 56-57
Challenges. *See* Principalship challenges
Charismatic authority, 121
Chicago Public Schools, 56
Classified staff, 17, 42
Classroom management, 20-21, 79, 108, 110
Collaborative decision-making, 47, 50-51, 89, 134, 148

Commitment, vii, viii, 13, 95
Common school model, 2
Communication, 110, 142
Community. *See* School-community relations
Compliance theory, 120
Compromise, 134
Conceptual skill framework, 12
Conflict, vii, 12
  avoidance and, 133
  collaboration and, 134
  compromise and, 134
  conflict-handling model, 132-134, 133 (figure)
  consequences of, 126-127
  definition of, 125-126
  interrole, 128-129
  intra/interreference group, 130-131
  role-personality, 131-132
  sources of, 127-128
  types of, 128-132
Control, vii, 116
  assistant principals and, 43
  discretionary powers, 10-11
  management-control principle, 81
Corporate management principles, 80-81
  See also Organizations
Covey, S., 100, 101
Critical skills. *See* Beginning Principal's Critical Skills Survey
Cuban, L., 49
Cubberly, E. P., 9, 10
Curricula, 2, 25-26, 63

Deal, T., 20, 21
Decision-making, 17, 18
  building-level committees, 139
  collaborative, 47, 50-51, 89, 134, 148
  public policies and, 137, 144
  school boards and, 148-149
Decision theory, 12
Deming, W. E., 87, 88, 89
Discipline enforcement, 40, 41-42, 109, 163
District administration. *See* Central office; Superintendents
Diversity, 21
Double-speak, 142

Earley, P., 4
Educational administration, vii, 2, 9-10, 15 (figure)
  discretionary powers, 10-11
  management training and, 3, 4-5
  ministerial duties, 10
  philosophy of, 19, 28-29
  power/authority and, 116, 122-123
  social process of, 12, 31
  task-oriented definition of, 9, 11-12
  theory movement in, 12, 13
  See also Assistant principals; Principals; Value systems
Educational philosophy, 19
  action planning and, 21-31
  beliefs and, 20-21
  outcomes-based education, 89
  values and, 20
Educational platforms:
  aims of education, 23
  alternative format, 29-31
  curricula and, 25-26
  development of, 22-29
  learners, administrator's image of, 25
  pedagogy styles, 26-27
  social learning, 24
  student achievement, 23-24
  teacher-student relationships, 27
  teachers, administrator's image of, 26
  value of, 31
Empowerment, 110
Environment, school, 28, 29, 62, 83
Ethics, 6, 21
Etzioni, A., 120
Evaluation. *See* Staff management
Expertise, 119, 122

Field experience, 5
  mentoring, 174-175
  shadowing, 172
  See also Professional development
Financial/budgetary management, 5, 9, 10, 64, 160
French, J. R. P., 118, 119
Functional principle, 81

Gorton, R. A., 119
Governance issues:
  local governing boards, 156-157
  state departments of education, 157-158
  superintendents/central office administrators, 157
  See also School board of education
Governance structure, 14, 15 (figure)

Halpin, A., 100
Hemphill, J., 98
Hierarchical order:
  formal authority and, 121
  legitimate power and, 118-119
  personal values and, 20
House, R., 100
Human motivation theory, 13
Human relations management, 82-84, 85
Human resources:
  allocation, 64
  development, 85-86

I/D/E/A/ Kettering Foundation's Principal Inservice Project, 167
Identity. *See* Self-awareness
Inservice. *See* Professional development
Insight, 19, 21
Inspection practices, 76-79, 84-85
Instructional leadership, 48, 50, 107-108
  classroom monitoring/intervention, 108, 110
  effective behavior patterns in, 109- 111
  instructional facilitation/support, 108
  personalized philosophy and, 109
  resource/building management, 108
  self-image and, 111
  staff development, 108
  student-problem resolution, 109
  success, focus on, 111
  teacher evaluation/supervision, 108
Instructional management, 63-64
Internships, 5
Interpersonal relationships, 27, 94, 95
Isolation, 4

Job Characteristics. *See* Superintendent's Job Characteristics Survey

Kentucky School Reform Act of 1989, 59
Kettering Foundation's Principal Inservice Project, 167

Law. *See* Legal issues
Leadership, vii, 9, 14, 15 (figure), 111
  administrative philosophy and, 19
  assistant principals and, 43-44
  behavioral approach, 99, 100
  definitions of, 94-96
  descriptive models of, 96, 99-101
  educational platform development and, 31
  followership and, 95, 111
  great person perspective, 96-97
  grid model of, 101-102, 103 (figure)
  integrated vision and, 65
  leadership behavior matrix, 105-107, 106 (figure)
  myths of, 111-112
  normative models of, 96, 101-107, 103-106 (figures)
  principle-centered, 100-101
  situational approach, 98-99
  tasks in, 18
  3-D theory of, 102-105, 104-105 (figures)
  trait analysis approach, 97-98
  transformative, 111
  See also Authority; Instructional leadership; Power; School leadership
Learning:
  administrator's image of, 25
  social behavior of, 24
Legal issues, 5, 9
  authority and, 121
  governance structures, 14
  regulations, 64
  teachers' unions, 137-140
  See also School board of education
Liu, C. -J., 108, 109
Los Angeles Unified School District, 56

Management-control principle, 81
Management training, 3
  effectiveness of, 4, 5
  internship programs, 5
  theory movement in educational administration and, 12
Managerial grid, 101
Marshall, C., 38
Massachusetts School Law of 1642, 76, 77
Mentoring, 174-175
Mintzberg, H., 60, 61, 62
Motivation. *See* Human motivation theory
Murphy, J., 45

National Association of Elementary School Principals, 48, 152, 173
National Association of Secondary School Principals, 152, 173
National Middle School Association, 173

National Policy Board for Educational Administration, 31
Networking, 170
Northwest Regional Educational Laboratory, 105

Office. *See* Central office
One-room schoolhouse, 2
Organizations, 12, 13
  effectiveness of, 86, 110-111
  governance structures, 14
  leadership strategies in, 110-111
  measurable outcomes and, 83, 85
  platform statements and, 31
  productivity in, 86
  values/beliefs in, 18
  See also Leadership; Total quality management (TQM)
Outcomes-Based Education, 90
Owens, R., 126, 127, 133

Parents, 17
  involvement of, 141
  principals, interactions with, 155-156
  school culture and, 142
Participative management, 109-110
Patterson, J., 109
Patton, G., 97
Payne, W., 80
Pedagogy styles, 26-27
Personal agenda, 18, 19
Personal commitment, vii, viii, 13, 95
Personal identity. *See* Self-awareness
Personnel management, 9, 64
Perspectives, clarification of, 19
Peterson, K., 20, 21
Philosophy. *See* Educational philosophy
Physical plant management, 9, 10, 108
Piece-rate principle, 80
Planning. *See* Action planning
Policy decision, 137, 144
Political arena. *See* School board of education
Power, 116
  abuse of, 117
  assistant principals and, 43
  coercive, 118
  compliance theory and, 120
  definition of, 117
  discretionary, 10-11
  expert, 119
  leadership and, 122-123
  legitimate, 118-119
  nature of, 12
  principals and, 50
  referent, 119
  reward, 118
  social, 118-120
  See also Leadership
Principal-teachers, 2, 3, 47, 49
Principals:
  critical skills, 7, 8-9 (figure)
  discretionary powers, 10-11
  duties of, 10, 48-49
  historical profile of, 44-47
  instructional leadership, 48, 50
  issues of, vii, 4, 18, 50-51
  management training and, 3, 4
  middle management status, 50
  reform measures and, 50-51
  self-awareness skills, 6-7, 13
  site-based management and, 51
  socialization skills and, 5-6
  student centeredness and, 52
  technical skills and, 5
  values/beliefs and, 18
  See also Assistant principals; Educational administration; Educational philosophy; Instructional leadership
Principalship challenges, 152-153
  accountability demands, 161
  after-school duties, 159
  external demands, 160-162
  funding inadequacies, 160
  governance issues, 156-158
  internal demands, 162-163
  job characteristics, 158-160
  job description issues, 153-156
  local governing boards, 156-157
  long hours, 159
  media relations, 160-161
  parent interactions, 155-156
  salaries, 158-159
  staff evaluation, 153-154
  state departments of education, 157-158
  student behavior problems, 163
  student contact, 162-163
  superintendents/central office administrators, 157
  teacher evaluation, 154-155
Problem-solving, 19
Productivity, 83, 85, 86
Professional development, 167
  academies, inservice, 168-169
  administrator inservice, 167-170
  mentoring, 174-175
  networking, 170

personal learning, 171-175
professional association membership, 173
professional reading, 171
shadowing, 172
traditional inservice model, 167-168
workshops/seminars, 169
Psychosocial climate, 83
Public trust, 31, 51, 110
Pupil services, 57

Raven, B., 118, 119
Record-keeping, 10
Reddin, W. J., 102, 103, 104, 105
Reform measures, 50-51
Research design/methods, 64
Resource allocation, 64

School board of education, 66-67, 144-145
collaborative power and, 148
intrusive behavior of, 67-68
micromanagement and, 145
naiveté of, 147-148
personnel turnover on, 67
policy-making, 137, 144, 148-149
political processes and, 67
roles/function of, 145-146
single-issue advocacy and, 146-147
See also Governance issues
School-community relations, 5, 10, 17
political/public support, 63
public pressure and, 68
school leadership and, 143-144
site-based management and, 50-51
See also School board of education
School leadership, 137
administrator responsibility, 139-140
community members and, 143-144
parent groups, 141-143
school boards, 144-149
teachers' bargaining groups, 137-140
Schools:
classroom management, 20-21, 79, 108, 110
climate of, 28, 29, 62, 83
goal achievement, 102
structural change in, 2-3
total quality management (TQM) and, 90-91
See also Educational administration; School leadership
Scientific management, 11, 80
current practice, 85
educational laws and, 81
efficiency in, 82
principles of, 80-81
top-down orientation, 81-82
Scientific methods-of-work principle, 81
Self, 14, 15 (figure)
Self-awareness, 6-7, 13
assumption clarification, 19
value systems and, 21
See also Educational philosophy
Self-regard, 111
Seminars, 169
Separation-of-planning-from-performance principle, 80-81
Sergiovanni, T., 22, 104
Shadowing, 172
Site-based management, 47, 50-51, 89
Social behavior, 24
Social process, 12, 31
Socialization skills, 5-6, 7
Societal change, 2, 80
Special education, 57
Staff management:
development, 64, 108
evaluation, 5, 9, 64, 108, 153-155
Standardized testing, 84, 89, 101
Starratt, R., 22, 104
Students, 9, 17
achievement, 23-24, 84, 85, 89
administrator's image of, 25
discipline, 40, 41-42, 109, 163
pupil services, 57
social behavior and, 24
teacher-student relationships, 27
Superintendents, 51, 55-56, 59
American Association of School Administrators guidelines, 62-65
career goal of, 68-70
challenges/frustrations, 65-66
duties of, 60-65
job security issues, 66-67
Mintzberg's framework, 60-62, 61 (figure)
public pressure and, 68
school board behaviors and, 67-68
scientific management and, 80
selection of, 59-60
Superintendent's Job Characteristics Survey, 71-72
Supervision, 5, 9, 10, 108

Taylor, F. W., 80, 85

Teacher-administrators, 2, 3, 47, 49
Teachers, 17
  administrator's image of, 26
  beliefs and, 20-21
  competency of, 77-79, 84, 85
  evaluation of, 5, 9, 64, 108, 154-155
  pedagogy styles of, 26-27
  student-teacher relationships, 27
  testing of, 84
  unions and, 137-140
Technical skills, 5, 7, 11-12
Theory movement in educational administration, 12
Thomas, K. W., 132, 17
3-D theory of leadership, 102-105, 104-105 (figures)
Time-study principle, 80
Total quality management (TQM), 87
  fourteen points of practice, 88-89
  results of, 87
  school setting and, 90-91
  seven deadly organizational diseases, 89
  top-down management and, 89
Training. *See* Management training
Transformative leadership, 111
Trust, 31, 51, 110

Union membership, 137-140
Urbanization, 80

Value systems, vii, 14, 34
  belief and, 20-21
  educational philosophy and, 19, 20, 31
  leadership and, 18
  sensitivity to, 21
  See also Educational platforms
Vision, 18, 109, 110

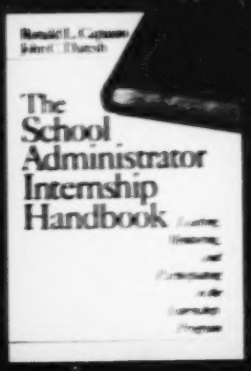
Weindling, D., 4
Weber, M., 117, 121
Winer, J. A., 100
Workshops, 169

York, A., 99
Yukl, G., 94

Corwin Press:

Beginning Principalship

Becoming a principal involves more than merely applying for a job. It means taking part in a long voyage toward becoming the most effective leader you can become.



BEST COPY AVAILABLE

ISBN 0-7619-2157-5

CORWIN PRESS, INC.